REQUEST FOR PROPOSAL- Secondary
Notice to Prospective Proposers

November 1, 2005

You are invited to review and respond to this Request for Proposal (RFP), entitled Statewide Research and Evaluation Project (SREP), RFP CCFC 7001. In submitting your proposal, you must comply with these instructions.

Note that all agreements entered into with the State of California will include by reference General Terms and Conditions and Contractor Certification Clauses that may be viewed and downloaded at Internet site www.ols.dgs.ca.gov/standard+language. If you do not have Internet access, a hard copy can be provided by contacting the person listed below.

In the opinion of the California Children and Families Commission (CCFC), this RFP is complete and without need of explanation. However, if you have questions, or should you need any clarifying information, the contact person for this RFP is:

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California Children and Families Commission
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(916) 323-0056

This RFP and any future related information can be viewed and download at Internet site www.ccfc.ca.gov.

Please note that no *verbal* information given will be binding upon the State unless such information is issued in writing as an official addendum.

Bryan Hobson, Chief
Administration Division

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0) <u>Purpose and Description of Services</u>

Purpose

The First 5 California Children and Families Commission (CCFC) is seeking a Research and Evaluation Contractor that has the capability and experience to develop and conduct comprehensive research and evaluation efforts that demonstrate the effects of First 5 funded programs on the lives of California's diverse population of children prenatal to age 5 and their families.

Note: Given the comprehensive scope of the required expertise and services outlined within this RFP, proposers are encouraged to utilize a team of subcontractors with diverse expertise when submitting their proposals.

The California Children and Families Act of 1998 established the "First 5 California Children and Families State Commission" also known as First 5 California. The Commission is the leadership agency and statewide coordinator of the Act. As part of the Act, Health and Safety Code Section 130125 (b) requires the First 5 California State Commission, referred to hereafter as the State Commission, to adopt guidelines for the development of "an integrated and comprehensive Statewide program of promoting, supporting, and improving early childhood development that enhances the intellectual, social, emotional, and physical development of children in California." In addition, Health and Safety Code Section 130125 (c) requires the State Commission to "define the results to be achieved by the adopted guidelines," and to collect and analyze data "to measure progress toward attaining such results." To frame this measurement of progress, the State Commission has established the following four results to achieve school readiness for each of California's children:

- **Early Childhood Learning & Education:** Increase the quality of and access to early learning and education for young children prenatal to 5 years.
- **Early Childhood Health:** Promote the prevention, early identification of and intervention in health and development issues.
- **Parent and Community Education**: Promote the importance of quality early care and education for young children by providing information and tools to parents, caregivers, schools and communities.
- **Improved Systems of Care:** Promote integration of programs and services into a consumer-oriented and easily accessible system.

Principles on Equity (POE)

In addition to the "Results" document, the State Commission adopted on June 29, 2001 the (*A Guide to Doing Business with California Children & Families Commission)* as a guiding document to demonstrate its commitment and leadership towards taking proactive steps to ensure California children and their families from diverse populations, including children with disabilities and other special needs, are an integral part of the planning and implementation of Proposition 10. <u>*It is essential that these Principles are reflected in all First 5 activities, including research and evaluation*</u>*.*

Partnerships

To address the need to update the statewide research and evaluation efforts, the State Commission and the First 5 Association, representing the 58 First 5 County Commissions, created a Framework Workgroup, charged with reviewing and revising the current framework. The resulting *Statewide Research and Evaluation Framework* (Document 1) addresses the reporting, evaluation and research objectives of both the State and county commissions and provides a structure for meeting these objectives.

The successful implementation of the Statewide Research and Framework (Framework) will require effective and ongoing partnerships among the entities described below. ***Only by building on existing efforts and maintaining positive working relationships among these entities can a high quality statewide research and evaluation agenda be developed and carried out.*** The key partners are:

First 5 California Children and Families Commission: The State Commission works collaboratively with other State agencies to develop effective policies for young children and to coordinate the State resources and programs that serve them (www.ccfc.ca.gov). The California Children and Families Act requires the State Commission to evaluate its results. The Commission must annually:

> Conduct an audit and prepare a written report on the implementation and performance of the State commission functions during the preceding year, including at a minimum, the manner in which funds were expended and the progress toward, and the achievement of, program goals and objectives." (Health and Safety Code Section 130150(b)(1))

Additionally, the Act requires State Commission to:

> Prepare a written report that consolidates, summarizes, analyzes, and comments on the annual audits and reports submitted by all of the county commissions for the preceding fiscal year." (Health and Safety Code Section 130150(b)(2))

58 County First 5 Children and Families Commissions: Eighty percent of First 5 tax revenues are allocated to the 58 California counties based on each county's share of statewide births. The California Children and Families Act requires each county Commission annually to:

> …conduct an audit of and issue a written report on the implementation and performance of, its functions during the preceding fiscal year, including at a minimum, the manner in which funds were expended, the progress toward, and the achievement of, program goals and objectives and the measurement of specific outcomes through appropriate and reliable indicators. (Health and Safety Code Section 130150)

County commissions are responsible for developing their own evaluation processes, including identification of performance outcomes, data collection, performance monitoring, maintaining an infrastructure for evaluation, and providing technical assistance to grantees and contractors who are responsible for meeting local reporting requirements. The nature of county commission evaluations varies based on each county's particular demography and geography, individual program decisions made by each autonomous First 5 County Commission, and the resources available in each county.

First 5 Association of California: The purpose of the Association is to provide a collective voice for the county commissions, facilitate information sharing and communication among county commissions and between the county commissions and the State Commission, provide technical assistance and resources to the county commissions, and encourage collaborative efforts that further the goals of the California Children and Families Act. The Association collaborated in the development of this RFP by representing the needs and concerns of county commissions and participating in the development of the Framework.

The purpose of the State evaluation system is to foster accountability and support learning. The Framework describes these two concepts and how they apply to the Framework as follows:

- **Accountability:** Provide clear and consistent information to all stakeholders and interested parties to demonstrate: (1) compliance with the procedural requirements of the Children and Families Act (2) effective management of First 5 resources; and (3) results achieved.

- **Learning:** provide information for use in learning about what approaches are most effective in improving outcomes for children for the purpose of continuously increasing the effectiveness of First 5 programs and strategies.

Scope of the State Commission Framework

The State Commission's responsibility for evaluation varies, depending upon the source of First 5 funds designated for initiatives and programs subject to evaluation. Understanding the structure of First 5 program funding is critical to understanding the Framework. The Framework identifies 4 funding categories: State programs/initiatives funded 100 percent by State Commission funds; County Commission programs/initiatives funded 100 percent by local County Commission funds; the School Readiness Initiative; and other jointly (State and matching county funds) funded programs.

- **100% State Funded**: The State Commission directly funds programs and projects that are administered by State Commission staff. The program and evaluation design is determined by the State.

- **100% County Funded**: County Commissions are the primary point of evaluation for locally funded projects (those funded with their allocated share of the Prop 10 revenue). The Framework clearly places the responsibility for local evaluation on the commission supporting the program.

- **School Readiness Initiative**: For State School Readiness, the Framework identifies a collaborative effort in which County Commissions would be responsible for collecting and submitting fiscal, program accountability *and* outcome data as well as participating in longitudinal, comparison and other research studies.

- **Other Jointly Funded:** Joint programs, are those programs that are developed and funded by the State, implemented through agreements with county commissions and require a County Commission match. The program and evaluation design is determined by the State, with county participation and input.

The Framework focuses on two of the categories: 1) 100% county funded programs and 2) the jointly funded School Readiness Initiative. In addition to the requirements of the Framework, the other two categories: 1) 100% State funded and 2) other jointly-funded are within the scope of this RFP and are addressed within the Description of Services section.

Center for Results

The Framework includes a component that is new to First 5 California – the Center for Results, a structure within First 5 California that will carry out the State Commission's research and evaluation agenda and manage the resources dedicated to implementing that agenda. The Center will:

- Serve as a repository of First 5 county and State evaluation information as well as State and national reports on promising and best practices for early childhood development.
- Develop and guide implementation of the State Commission's research and evaluation plan.
- Review local and State evaluation results and develop policy recommendations.
- Compare First 5 findings with other State and national research efforts.
- Conduct in-depth research and evaluation studies to further the understanding of how best to support the development and school readiness of California's diverse population of young children.
- Communicate research findings to policy-makers, practitioners and other stakeholders.

Much of the work of the selected contractor will be focused on achieving the purposes of the Center for Results. Under the authority of the State Commission, the Center for Results will consist of four entities:

- *Steering Committee:* The State Commission will establish a steering committee to support the development of the research and evaluation agenda. Membership will include State Commissioners, state staff, and county representatives.
- *Evaluation Workgroup.* The Evaluation Workgroup will continue to provide support during the transition phase (FY 2005/06) of the framework. Some members of this group will then shift to the Steering Committee.
- *Staff.* The Research and Evaluation contractor and state staff will provide staff support, develop and recommend a strategic research and evaluation plan, conduct research and evaluation studies, collect data and evaluation reports from County Commissions and the State Commission, and complete a range of data analysis activities.
- *Technical Support Committee.* Adhoc committee(s), to be convened as needed, for technical expertise and planning.

The Framework's Approach to Evaluation and Reporting*

The illustration below presents a conceptual approach for structuring the data collection and reporting processes for County Commission funded programs, School Readiness Initiative, joint funded projects, and State funded projects. As shown, information will be collected, evaluated and reported at three "levels," designed to answer different categories of questions: 1) Descriptive (accountability) data; 2) Outcome data; 3) Information produced through in-depth research and evaluation.

Levels	100% County-Funded	School Readiness	Other Joint Funded	100% State Funded
1. Descriptive Data Provides standardized and consistent Statewide information for Annual Report.	Answering: 1. Who is being served? 2. How many are served? 3. By whom? 4. For what purpose? 5. How much is spent?	Answering: 1. Who is being served? 2. How many are served? 3. By whom? 4. For what purpose? 5. How much is spent?	Answering: 1. Who is being served? 2. How many are served? 3. By whom? 4. For what purpose? 5. How much is spent?	Dependent on type of project funded. *(Kit for New Parents would require descriptive data, State Library project would not.*
2. Outcome Data Provides county-specific information for Annual Report and for use in targeted State evaluation/research studies	Counties report local evaluation results of local efforts. To be used as a resource for level 3 research. Will answer questions about results in individual counties.	Counties report aggregate data from customized list of outcomes and indicators that align with program goals and funding.	Counties report aggregate data from customized list of outcomes and indicators that align with program goals and funding.	Dependent on type of project funded. *Kit for New Parents generates outcome data. Safe From the Start generates input data like training numbers & distribution of materials*
3. Applied Research and Evaluation Data Provides information for best practices, accountability, improving results, evaluating Statewide impact, policymaking, and future strategies.	Center for Results identifies research & evaluation topics. Designs and conducts research and evaluation studies.	Center for Results identifies research & evaluation topics. Designs and conducts research and evaluation studies. (i.e. longitudinal)	Center for Results identifies research & evaluation topics. Designs and conducts research and evaluation studies.	Center for Results identifies research & evaluation topics. Designs and conducts research and evaluation studies

* Please see the Framework for a detailed explanation of this chart.

Problem Statement

The First 5 California Children and Families Commission (CCFC), by statute, must develop and conduct comprehensive research and evaluation efforts that demonstrate the effects of First 5 funded programs on the lives of California's children prenatal to age 5 and their families.

Since its inception in 1998, First 5 has evolved and matured, resulting in many changes at both the State and county levels. Changes which include a focus on school readiness, refinement of short and long term goals, adoption of the Equity Principles)), expanded strategies, and increases in the number and complexity of State and local programs. It is important that the State's research an evaluation plan also evolve to effectively reflect the current needs of the State and Counties and the populations they serve. As referenced above, Document 1 contains the final report, *Statewide Research and Evaluation Framework* developed by the First 5 Evaluation Workgroup and approved by the State Commission on July 21, 2005. **Proposers are expected to review this report, The Principles on Equity, and the current data collection and evaluation design (www.prop10evaluation.com) carefully as part of the proposal development. Additional support documents are identified and referenced within this document.**

Description of Services (Scope of Work)

This section describes the services and details the scope of work that the selected contractor will be required to perform. The description of services is divided into four sections: 1) State funded, 2) County funded, 3) School Readiness Initiative and 4) other jointly funded. A fifth section will specifically address the Center for Results. The Center for Results will be the centralized "clearing house" for the data, information, evaluation reports and research studies coming from each category. Potential contractors must be cognizant that these categories are often interrelated in the larger First 5 system and therefore share many common components.

Please note that because of California's unique population, proposals should clearly demonstrate the contractor's commitment and capacity to address the needs of children and their families from diverse populations, including children with disabilities and other special needs, as described in First 5 California's Principle on Equity.

The selected contractor will be responsible for reviewing, modifying and, as necessary, developing new procedures for collecting, managing, analyzing and reporting data. (Proposers should note that the information technology component of the Statewide Framework is ***not*** included in this RFP. A separate RFP process will be used to select an information technology contractor who will be responsible for maintaining the state's database system, application/functionality revisions and expansions, monitoring for quality and consistency of data, technical support and the design of any new modules.) The selected evaluation contractor will be required to coordinate its data management work with the information technology contractor and to cooperate in any revisions of the Proposition 10 Evaluation Data System (www.prop10evaluation.com). Until State Commission and County Commission technology systems are reviewed and revised, the selected contractor will be required to rely on existing technology systems in executing its data management responsibilities.

Specific issues related to technical assistance that are known at this time are identified; however, the contractor may need to include in their proposal additional technical assistance on topics not specifically listed but directly relevant to executing the proposed work plan.

The following outlines the Scope of Work, with associate tasks and subtasks that must be addressed within the response to this RFP**.** The SOW is organized around three types of responses the contractor should include in their proposals. All three are included in the scoring criteria.

(1) Where requested (identified in bold lettering), a contractor is asked to submit a preliminary plan, process, and/or timeline that demonstrate the methods and/or approach that the contractor will use to address specific activities. This will provide the State an opportunity to get a feel for and assess how the contractor will address and manage activities that are part of the SOW.

(2) The proposal must include a detailed work plan, appropriate deliverables, timeline and budget that reflect all of the tasks and subtasks listed below.

(3) The proposal must describe and document the contractor's skills, knowledge, abilities, experience and resources to complete each task.

Task 1: 100% State Funded

With the 20% of the Proposition 10 tax revenue allocated to the State Commission, First 5 California has strategically invested funds to help First 5 move closer to ensuring that children are ready to enter school healthy, ready to learn, and able to reach their full potential. These projects are developed and administered by State Commission staff and usually conducted by outside contractors.

A. Outline a general plan and timeline to review and revise the current mid-year progress and annual progress report formats for State funded programs.

The selected contractor will be expected to review the current process and report formats used to monitor all State funded projects, and make recommendations to improve the process and format in order to enhance the usefulness of the information.

B. Outline a preliminary plan to incorporate the information from the progress reports into the Center for Results' Repository.

The selected contractor will develop and implement a process to use this information more effectively and incorporate it into the overall picture of First 5 California. Currently there is not a process to track and use the progress and final report information effectively.

C. Outline a preliminary plan to incorporate and effectively access research and/or evaluation studies/reports received from State funded entities into the Center for Results' Repository.

Most State funded projects have as a deliverable a final report or document that summarizes the outcomes/results of the project. The selected contractor will be responsible for reviewing the reporting process and developing a more technology based method to capture collected data and reports from funded projects.

The contractor will develop a mechanism to include project results in the Annual Report and an appropriate plan for distribution to stakeholders.

Additional requirements of the selected contractor that must be reflected in the proposal's work plan, timeline, and budget. In addition, please demonstrate the firm's, lead staffs' and subcontractors' experience and competencies to complete these tasks.

D. Review and update *Results to be Achieved* (www.ccfc.ca.gov) document to align with Framework. The selected contractor will be responsible for updating the *Results* document by September 1, 2006**.**

E. Review and update the *State Guidelines* (www.ccfc.ca.gov) document to align with the revised *Results to be Achieved* and the Framework. The contractor will be responsible for updating the State Guidelines by October 1, 2006.

Task 2: 100% County Funded

County Commissions are the primary point of evaluation for locally funded projects (those funded with their allocated share of the Prop. 10 revenue). The Framework clearly places the responsibility for local evaluation on the County Commission supporting the program. County Commissions are required to submit to the State as part of their Annual Report submission: (1) accountability data on the programs funded, in a format prescribed by the State; (2) narrative summary of their evaluation results from the prior fiscal year; and (3) evaluation studies, when available, in order to support Statewide evaluation efforts. County Commissions are expected to be responsive to any inquiries from the State regarding evaluation efforts and/or program results.

The Framework provides for the use of a single standard and consistent reporting format by county commissions to provide a consistent statewide picture of: 1) what services are being funded; 2) who and how many are receiving services (i.e. ethnicity, language, special needs); 3) who is providing these services. Further details can be found in the Framework.

A. Provide a timeline for a review of state protocols and procedures for submission of descriptive and fiscal data in place for FY 2006/2007.

The State Commission, in cooperation, with the Workgroup is currently in the process of developing tentative submission procedures and protocols for County Commissions to report the fiscal and descriptive data for programs, to be effective July 1, 2006. This data will be required reporting for fiscal year 2006/2007 and will be included in the Annual Report. The selected contractor should submit a timeline and plan for review of these procedures.

B. Describe a process for identifying best practices, model program and/or innovative strategies that would be distributed statewide.

The selected contractor will recommend the criteria and process to review county evaluation reports to determine which reports merit distribution as submitted or in a summarized format produced by the contractor. The selected contractor will utilize the process, distribute documents to the appropriate audiences, and incorporate the information into the Annual Report.

C. Describe a plan to provide technical assistance to counties needing support with data collection, submission and local program evaluation.

The selected contractor will provide those counties requesting assistance, the support needed to establish effective, inclusive local evaluation practices.

While many County Commissions are well positioned to execute this responsibility and have already developed extensive local evaluation plans and programs, other commissions will require further technical assistance and support.

D. Identify the methodology(s) that will be used to analyze the 3 levels of collected data and how it will answer stakeholders' "top questions" (listed in the Framework) as they pertain to county funded projects and the populations they serve.

The selected contractor will be responsible for the analysis of all three levels of data and results will be incorporated into the Annual Report.

Additional requirements of the selected contractor that must be reflected in the proposal's work plan, timeline, and budget. In addition, please demonstrate the firm's, lead staffs' and subcontractors' experience and competencies to complete these tasks.

E. Review the accuracy, completeness and timely receipt of required descriptive data and local evaluation results (to include, when available, outcome data, evaluation studies and research reports). The selected contractor will be responsible for providing technical assistance to counties, to establish and support appropriate data submission protocols and training on standard reporting formats.

F. Recommend specific procedures for the submittal of local evaluation results to the Center for Results. The implementation of the Framework will require County Commissions to supply local evaluation results, when available. The selected contractor will assist counties on identifying appropriate evaluation results to submit. The selected contractor will also establish consistent procedures for counties to submit local evaluation results.

Task 3: School Readiness (SR) Initiative

For State School Readiness, the Framework details a collaborative effort in which County Commissions will be responsible for collecting and submitting fiscal, program descriptive data by the four Result Areas, service categories, and outcome data. SR programs may also be identified to participate in longitudinal, comparison and/or other research studies.

A. Describe a process for review of each school readiness application.

The selected contractor will review each SR application to familiarize themselves with each funded SR application goals and plan.

B. Describe a process for reviewing state protocols and procedures of the submission of descriptive, fiscal and outcome data for School Readiness Programs.

The State Commission and the Workgroup is currently in the process of tentative submission procedures and protocols for County Commissions to report the fiscal, descriptive, and outcome data for programs effective July 1, 2006. This data will be required for fiscal year 2006/2007 and will be included in the Annual Report. Under this contract, the selected contractor will be required to conduct the review and develop recommendations to enhance the submission process.

C. Describe a process for identifying best practices, model program and/or innovative strategies that could be used for learning.

The selected contractor will be responsible for recommending criteria and a process to review SR evaluation reports to determine which reports merit distribution or more in-depth study.

The selected contractor will be responsible for the distribution of such reports, as submitted or in a summarized format produced by the contractor, and the possible inclusion in the Annual Report.

D. Identify the methodology(s) that will be used to analyze the 3 levels of collected data and how it will answer stakeholders' "top questions" (listed in the Framework) as they pertain to SR programs and the diverse population they serve.

The selected contractor will be required to analyze the collected data, answer "top questions", and incorporate the results into the Annual Report.

E. Detail the planning stages in the design and implementation of a longitudinal study. The selected contractor will be designing and conducting a longitudinal study within the SR Initiative.

Additional requirements of the selected contractor that must be reflected in the proposal's work plan, timeline, and budget. In addition, please demonstrate the firm's, lead staffs', and subcontractors' experience and competencies to complete these tasks.

F. In addition to reporting fiscal, descriptive and outcome data based on the menu of indicators, County Commissions may provide, when available, evaluation reports and/or other locally generated outcomes information to the State to provide as complete of a picture as possible of SR programs and the populations they serve (i.e. ethnicity, language, special needs). The selected contractor, as part of this contract, will be expected to develop a process(s) to support counties in identifying relevant evaluation outcomes that support the work of the School Readiness Initiative. In addition, the selected contractor will be responsible for implementing the approved process and incorporating submitted information into the Annual Report.

G. The selected contractor will be responsible for conducting the Kindergarten Entry Profile (KEP) study in year 1 and year 3 of the contract. The KEP study consists of the Modified Desired Results Developmental Profile, parent Interviews, and surveys of school staff. Data elements to be analyzed will include, but not limited to, differences between ethnic, language, and special needs groups and the impact of levels of services provided through the SR Initiative. In planning and cooperation with the individual SR sites, a process will be developed to identify students who have received SRI services prior to entry into kindergarten. (www.prop10evaluation.com)

H. The selected contractor will review the draft outcomes and indicators menu so it effectively reflects the range of SR Initiative program goals and investments. The Framework allows each SR Initiative application site, in conjunction with State Commission staff, to identify specific outcomes and indicators that best reflect their goals and program investments. The selected contractor will need to validate, refine, and finalize the draft menu based on information from Task 3A.

I. The selected contractor will review each school readiness application's data submission procedures.

J. The selected contractor will be responsible for providing technical assistance, as needed, to SR sites to support appropriate data collection protocols and submission of data.

K. In cooperation with the Technology Contractor, the selected contractor will need to assist counties with mapping the required data elements to the standard reporting format.

Task 4: Other Joint Funded

Joint programs, are those programs that are developed and funded by the State and require a County Commission match. The program and evaluation design is determined by the State, with county participation and input. Several jointly-funded programs are evaluated under other State Commission contracts. The evaluation of the following two projects is included in this contract.

Special Needs Project (SNP) (Document 2)

A. The proposal should demonstrate the contractor's ability and expertise needed to continue all the components of the working draft data collection and evaluation design, including collecting longitudinal data.

The selected contractor will continue the data collection, evaluation activities and provide evaluation support to demonstration sites.

The selected contractor will be responsible for data analyses and designing and completing the SNP annual evaluation reports.

Preschool For All (PFA) (Document 3)

B. **Identify the planning steps that would be used to design and conduct a PFA longitudinal study**.

The selected contractor will be required to design and implement a PFA longitudinal study guided by the POE and uses and/or links to the CDE student information system. The study will be implemented in the 3rd year of the contract.

Additional activities for the contractor that must be reflected in the proposal's work plan, timeline, and budget. In addition, please demonstrate the firm's lead staff and subcontractors' experience and competencies to complete these tasks.

C. Review evaluation designs and components of locally implemented PFA programs.

D. The selected contractor will be responsible for designing and implementing an evaluation plan for the Preschool for All Demonstration Project (Document 3) that builds on the work completed by the State and counties with early PFA implementation, and closely aligns with the POE and the evaluation model used in the Framework for the School Readiness Initiative. The evaluation design and implementation should begin the first year of the contract.

E. The selected contractor will be responsible for data analyses and annual evaluation reports on PFA. Results will be included in the Center for Results repository and incorporated into the Annual Report**.**

F. The selected contractor will work with the IT contractor to develop a PFA data collection module. Building on the current work being done by counties with early PFA implementation and the State, the selected contractor will finalize the components of the PFA module and provide training and support to the demonstration sites for implementation, data collection and reporting consistency.

G. The selected contractor will work cooperatively with other State Commission contractors evaluating joint-funded programs other than SNP and PFA.

Task 5: Center for Results

The Framework includes a component that is new to First 5 California – the Center for Results, a structure within First 5 California that will carry out the State Commission's research and evaluation agenda and manage the resources dedicated to implementing that agenda as well as the policy- and decision-making structure to guide this effort.

A. Describe how to create and maintain a central repository of First 5 evaluation data and information.

The selected contractor will be responsible for designing and maintaining a central repository for research and evaluation. This repository will include, but not be limited to, county descriptive data, outcome data, local evaluation reports, state research results/reports, state evaluation results/reports and other state and national information that includes promising and best practices for early childhood health and development, family support and school readiness. The repository will be an information library that will maintain and disseminate information on a variety of topics to include early childcare and education, health, special needs, family support, school readiness and equity issues. It is intended to be a resource that will help to minimize learning curves and allow First 5 organizations and partners to take advantage of resources derived from First 5's investments in California.

B. Identify relevant data sources on the conditions of children 0-5 and their families, including children from diverse backgrounds and children with special needs, to enhance and support the accountability and learning purposes of the Framework.

The selected contractor will be responsible for collecting such data and incorporating it into the research and evaluation activities.

C. Outline the process and methodology to be used to organize, summarize and analyze descriptive data submitted by County Commissions.

The selected contractor will organize, summarize, and analyze the collected county descriptive data for incorporation into the research and evaluation activities and work products (including the Annual Report) of the Center for Results.

D. Outline the process and methodology to be used to organize, summarize and analyze local evaluation results submitted by County Commissions.

The selected contractor will organize, summarize, and analyze the submitted local evaluation results for incorporation into the research and evaluation activities and work products (including the Annual Report) of the Center for Results.

E. Recommend effective ways to disseminate information to the variety of First 5 stakeholders (as identified in the Framework).

The selected contractor will develop and implement a process to disseminate information on State and local efforts in order to improve local and state strategies and programs and to inform key stakeholders of First 5 activities and results. Additionally, the Center's staff (selected contractor and State staff) will have the critical role of analyzing, interpreting and communicating local results and placing those results in the context of statewide issues facing young children and families in California.

F. Describe the planning steps that will be used to design and conduct a SR longitudinal study and the resulting products (deliverables).

The selected contractor will be responsible for designing and conducting a SR longitudinal study, to begin in the first year of the contract.

G. Describe the planning steps that would be used to design and conduct a cost benefit study and the resulting products (deliverables).

The selected contractor will be required to design and conduct a cost benefit evaluation study (study focus to be determined) to show the value of First 5's investments. The study design work should begin in year 1 of the contract and implementation in year 2.

Additional Requirements for the Center for Results that must be reflected in the proposal's work plan, timeline, and budget. In addition please demonstrate the firm's, lead staffs' and subcontractors' experiences and competencies to complete these tasks.

H. Demonstrated expertise and successful experience in design, development, and implementation of evaluation and research studies (in addition to those listed above), to include:
- Quantitative methods
- Comparison studies
- Case Studies
- Process evaluations
- Modeling
- Results-Based Accountability (RBA)

I. Demonstrate the ability to work effectively with diverse community based organizations that provide services in multiple languages and to clients from a range of cultures.

J. Demonstrated commitment to inclusion and diversity, including cultural competence and experience that align with the recommendations in the Principles on Equity.

K. The selected contractor will be responsible for recommending, designing and conducting three focused research or evaluation studies involving locally or jointly funded programs (across counties or within a single county) with, but not limited to, common strategies, goals and/or targeting a specific population. The selected contractor should demonstrate their evaluation teams cultural competence and their knowledge and successful experience in developing appropriate research and evaluation strategies for culturally different groups.

L The selected contractor will review local, State, and national evaluation/research reports in order to recommend areas for in-depth, case, comparison or other evaluation/research studies.

M. The selected contractor will provide TA to counties on the functions and use of the Center for Results.

N. The selected contractor will incorporate submitted local data and results into the Annual Report to the Legislature and Governor. The selected contractor will be responsible for developing a format for the inclusion of local evaluation efforts into the Annual Report.

O. The selected contractor will produce three publications per year: the contractor will prepare, publish and distribute non-technical publications that may include newsletters, policy /issue briefs, formal briefings, and/or presentations.

P. The selected contractor will review the draft research and evaluation glossary of terms to ensure common understandings among counties and between counties and the State Commission.

Q. The selected contractor will annually prepare, publish and distribute the First 5 California's Annual Report. The selected contractor will be responsible for designing, writing, and publishing First 5 California's Annual Report to the Legislature and Governor, as required by the Proposition 10 legislation. The Annual Report will merge all the research and evaluation data submitted by the State and County Commissions into a comprehensive document that is a summary of statewide and county level First 5 initiatives/programs and documents the results achieved on a statewide basis. The report is due January 31st of each year and will be due from the contractor on December 31st of each year. This report must incorporate, at a minimum, the components listed below:

- Summary of First 5 California's activities for the preceding fiscal year. This part of the report will include narrative and fiscal information and will include the Annual Audit.
- Synthesis and analysis of county activities to include descriptive, fiscal, and qualitative data.
- Review of county evaluation results and summary report of promising practices, model programs, and/or trends.
- Synthesis and analysis of SR descriptive and outcome data.
- Summary of SR evaluation reports submitted highlighting promising practices, strategies, and model programs.
- Synthesis and analysis of SNP descriptive and outcome data.
- Summary of SNP evaluation reports submitted highlighting promising practices, strategies, and model programs.
- C*enter for Results* section for in-depth research or evaluation studies.
- County profiles that highlight each county's work and tells the First 5 "story".

R. The selected contractor will assist State Commission staff, on an annual basis, with briefing members of the First 5 California Commission, Governor's office and/or the State Legislature on the Annual Report.

S. The selected contractor maintains effective communication and works collaboratively with other State and local contractors as needed.

T. The selected contractor will develop innovative presentations or communications tools to convey research results to a broad audience including practitioners, parents, policy makers, and commission staffs.

U. The selected contractor will submit monthly progress reports that outline the activities of the Center, contractor and subcontractors by tasks and subtasks.

V. The selected contractor will design and execute a sampling plan for the research studies.

B) <u>Minimum Qualifications for Proposers</u>

This is a Pass/Fail component of the RFP and is designed to determine if the proposer has the experience and operational capabilities required to meet the requirements of the RFP. The "Minimum Qualifications" must be passed in order for a proposer to qualify to continue in the RFP process. Bidders should provide narrative examples to document the meeting of each of the minimum qualifications. **<u>Pass</u>** **<u>Fail</u>**

1. Experience designing and implementing large-scale, multifaceted research and evaluation projects.
2. Experience working with diverse populations and counties, including, the ability to reach all counties (i.e. geographic reach).
3. Expertise in the First 5 California's Result Areas, School Readiness, Special Needs, and Cultural Diversity.
4. Expertise in working with technology.
5. Expertise in data confidentiality.
6. Documented annual billings of $5,000,000 in 3 of the last four years, for those proposers that are submitting as a team, the team collectively must have documented billings of $5,000,000 annually.
7. Qualified to do business in California
8. Be associated with, or have access to, an Internal Review Board (IRB) for evaluation/research studies.
9. Be associated with, or have access to a professional editor and graphic design services.

Desirable Qualifications of Proposer

The following qualifications are viewed as highly desirable in being able to meet the requirements of this RFP. Bidders should integrate into their proposal information and documentation that addresses these qualifications. These qualifications are included in the scoring process.

1. Capacity and existing professional relationships to handle large-scale, multifaceted projects.
2. Knowledge and ability to manage multiple data sources, systems and data sets in performing evaluation activities.
3. Expertise with partnerships and systems change efforts.
4. Ability and past experiences in working with diverse populations and counties, including, the ability to reach all counties (i.e. geographic reach).
5. Experience in doing community level evaluation, facilitation, and consensus building for programs providing services to diverse populations (i.e. cultural, ethnic, special needs and languages).
6. Multi-disciplinary expertise in the First 5 California's Result Areas, School Readiness, Special Needs, and Cultural Diversity.
7. Demonstrated commitment to children and their families from diverse populations, including children with disabilities and other special needs, as described in First 5's Principle on Equity.
8. Ability to communicate effectively with different audiences, including the ability to communicate complex ideas (i.e. processes, analytic methods, and findings) using everyday language.
9. High availability for numerous meetings and planning sessions held throughout the state.

C) <u>Proposal Requirements and Information</u>

1) Key Action Dates

It is recognized that time is of the essence. All proposers are hereby advised of the following schedule and will be expected to adhere to the required dates and times.

Event	Date	Time*
RFP available to prospective proposers	November 1, 2005	10:00 am
Written Question Submittal Deadline*	November 14, 2005	4:00 pm
Mandatory Pre-proposal Conference	November 21, 2005	10:00 am
Final Date for Proposal Submission	January 20, 2006	4:00 pm
Proposal Evaluation Process	January 30-Feb.3, 2006	
Notice of Intent to Award	February 20, 2006	4:00 pm
Proposal Award Date	May 1, 2006	

2) Mandatory Pre-Proposal Conference

a) A Mandatory pre-proposal conference is scheduled for November 21, 2005, 10:00 am in Room 100, 501 J Street, Sacramento, CA 95814 for the purpose of discussing concerns regarding this RFP.

b) In the event a potential proposer is unable to attend the mandatory pre-proposal conference, an authorized representative may attend in their behalf. The representative may only sign-in for one (1) company. Subcontractors may not represent a potential proposer at a mandatory pre-proposal conference. "No proposal will be accepted unless the proposer or its authorized representative was in attendance."

c) For proposers who need assistance due to a physical impairment, a reasonable accommodation will be provided by the awarding agency upon request for the pre-proposal conference. The proposer must call Myrtle Jones at (916) 327-8505 by 4:00 pm on November 10, 2005, to arrange for a reasonable accommodation.

3) Work Plan and Work Schedule Requirements

The proposer shall develop a comprehensive work plan that includes product and service deliverables as specified in the Description of Services (Scope of Work), and a timeline for task completion. This work plan shall identify each major task, necessary subtask, and/or specific milestones by which progress can be measured and payments made. Include dates for task completion, and for presentations to be conducted if applicable (e.g., workshop(s), Commission meeting(s), technical assistance session(s), etc.). The work plan shall also include the following:

a**) Project Personnel** List all personnel who will be working on the project and their titles. Provide resumes for each major contract participant who will exercise a major policy, program, administrative, or consultative role in carrying out the services.

If subcontractors are contemplated, identify those persons or firms, the portions and monetary percentages of the work to be done by the subcontractors, how they were selected and why, provide resumes of each major subcontract participant, and a description of how subcontracted work will be controlled, monitored, and evaluated.

b) **Facilities and Resources:** explain where the services will be provided and the resources needed to perform the services

Please Note:
While the contractor will be responsible for preparing a recommended Strategic Research and Evaluation plan and for conducting the number and type of studies identified above, nothing in this RFP shall be interpreted to mean that the selected evaluation contractor will have the exclusive right to conduct all research and evaluation studies included in the research agenda plan.

4) Cost Detail Format and Requirements

The proposed work should be broken down into the outline in Work Plan and Work Schedule for the purpose of this proposal. The total costs of all tasks and milestones cannot exceed the budgeted amount of $21 million. The State will only pay for hours actually worked at the rates submitted in the "Cost Proposal" and for actual expenses incurred, even if the amount of the charges is less than the total proposal amount. Use the Sample Cost Proposal Worksheet Attachment 3 as a guide in preparing your cost proposal.

The amount to be paid to the Contractor under the awarded Agreement includes all costs such as: direct labor and operating overhead; out of pocket expenses for travel and subsistence; subcontracting services; and all taxes, fees, bonds and insurance. The Contractor shall not receive additional compensation for reimbursement of such costs and shall not decrease work to compensate therefore.

5) Submission of Proposal

a) Proposals should provide straightforward and concise descriptions of the proposer's ability to satisfy the requirements of this RFP. The proposal must be complete and accurate. Omissions, inaccuracies or misstatements will be sufficient cause for rejection of a proposal.

b) The proposal package should be prepared in the least expensive method.

c) All proposals must be submitted under **sealed** cover and sent to California Children and Families Commission by dates and times shown in Section C, Proposal Requirements and Information, Item 1) Key Action Dates. Proposals received after this date and time will not be considered.

d) A minimum of ten (10) copies (one original and nine copies) of the proposal must be submitted. Winning proposer will be required to provide an electronic copy of the entire proposal in Microsoft Excel and Word.

e) The original proposal must be marked "ORIGINAL COPY". All documents contained in the original proposal package must have original signatures and must be signed by a person who is authorized to bind the proposing firm. All additional proposal sets may contain photocopies of the original package.

f) The proposal envelopes must be plainly marked with the RFP number and title, your firm name and address, and must be marked with "DO NOT OPEN", as shown in the following example:

(RFP Number)
(RFP Name)
California Children and Families Commission
501 J Street, Suite 530
Sacramento, CA 95814

DO NOT OPEN

If the proposal is made under a fictitious name or business title, the actual legal name of proposer must be provided.

Proposals not submitted under sealed cover and marked as indicated may be rejected.

g) All proposals shall include the documents identified in Section E, Required Attachment Checklist, see page 25. Proposals not including the proper "required attachments" shall be deemed non-responsive. A non-responsive proposal is one that does not meet the basic proposal requirements.

h) Mail or deliver proposals to the following address

<u>U.S. Postal Service Deliveries and Hand Deliveries</u>
(UPS, Express Mail, Federal Express, etc.)

California Children and Families Commission
501 J Street, Suite 530
Sacramento, CA 95814
(916) 323-0056

i) Proposals must be submitted for the performance of all the services described herein. Any deviation from the work specifications will not be considered and will cause a proposal to be rejected.

j) A proposal may be rejected if it is conditional or incomplete, or if it contains any alterations of form or other irregularities of any kind. The State may reject any or all proposals and may waive any immaterial deviation in a proposal. The State's waiver of immaterial deviation shall in no way modify the RFP document or excuse the proposer from full compliance with all requirements if awarded the agreement.

k) Costs incurred for developing proposals and in anticipation of award of the agreement are entirely the responsibility of the proposer and shall not be charged to the State of California.

l) An individual who is authorized to bind the proposing firm contractually shall sign the Attachment 2, Proposal/Proposer Certification Sheet, page 26. The signature must indicate the title or position that the individual holds in the firm. An unsigned proposal may be rejected.

m) A proposer may modify a proposal after its submission by withdrawing its original proposal and resubmitting a new proposal prior to the proposal submission deadline as set forth in the Key Action Dates. Proposal modifications offered in any other manner, oral or written, will not be considered.

n) A proposer may withdraw its proposal by submitting a written withdrawal request to the State, signed by the proposer or an authorized agent in accordance with l) above. A proposer may thereafter submit a new proposal prior to the proposal submission deadline. Proposals may not be withdrawn without cause subsequent to proposal submission deadline.

o) The awarding agency may modify the RFP prior to the date fixed for submission of proposals by the issuance of an addendum to all parties who received a proposal package.

p) The awarding agency reserves the right to reject all proposals. The agency is not required to award an agreement.

q) Before submitting a response to this solicitation, proposers should review, correct all errors and confirm compliance with the RFP requirements.

r) Where applicable, proposer should carefully examine work sites and specifications. No additions or increases to the agreement amount will be made due to a lack of careful examination of work sites and specifications

s) More than one proposal from an individual, firm, partnership, corporation or association under the same or different names, will not be considered.

t) The State does not accept alternate contract language from a prospective contractor. A proposal with such language will be considered a counter proposal and will be rejected. The State's General Terms and Conditions (GTC) are not negotiable.

u) No oral understanding or agreement shall be binding on either party.

6) Evaluation Process

a) At the time of proposal opening, each proposal will be checked for the presence or absence of required information in conformance with the submission requirements of this RFP.

b) Proposals that contain false or misleading statements, or which provide references, which do not support an attribute or condition claimed by the proposer, may be rejected.

c) Award, if made, will be to the highest scored responsible proposal.

d) Proposal Evaluation

The proposals that meet the minimum qualifications will be evaluated and scored according to the criteria indicated below. A minimum of 115 points must be achieved in this phase to be considered responsive. (A responsive proposal is one, which meets or exceeds the requirements stated in this RFP.)

Rating/Scoring Criteria Maximum Possible Points: 200

Scope of Work Submittal - Depth of understanding related to project requirements, appropriateness and quality of the presentation of all preliminary information requested and any plans required as part of this RFP. Proposer must present a conceptual plan for the completion of all requirements of this project, including timelines and milestones. Final analysis of these rating criteria may require the evaluation team to schedule interviews with key members of all or some of the consultant / firms to further understand qualifications and capacity to complete the scope of work.

Maximum of 40 pts

- Proposal shows clear understanding of the project's purpose and the requirements as outlined in the Description of Services and SOW. (All tasks and subtasks) 5 pts ____
- Recommendations for research and evaluation studies demonstrate appropriate planning steps and methodology. (2D, 3D, 3E, 4C, 5C-D, 5F, 5G) 5 pts ____
- Proposal demonstrates a clear understanding of the role and responsibilities of the Center for Results. (1B,1C, 2F, 5A-V) 15 pts ____
- Proposed work plan, timeline, budget and deliverables are well designed, comprehensive, achievable and meet the requirements as described in the RFP and Framework. (All tasks and subtasks) 15 pts ____

Qualification of Project Staff - Qualifications of project staff in performing data collection, evaluation and research of a closely similar nature, particularly key personnel and Project Manager; staff experienced in working with large public agencies and local community entities, expertise in health, human services, child development, early care and education; particularly related to young children; knowledge of related national and state initiatives.

Maximum of 45 pts

- Personnel have demonstrated successful experience working and communicating effectively with a range of audiences and stakeholders. (Desirable Qualifications (DQ) 4-8, 1D-E, 2E-F, 3F-K 4C-F, 5H-V) 10 pts ___
- Personnel have experience working with state, county and local agencies. (DQ1-3, DQ5, DQ9, 2E-F, 3G-K, 4C, 5I, 5K, 5S-T) 10 pts ___
- Personnel demonstrate expertise and experience in the design and implementation of similar research and evaluation studies. (DQ 1, DQ5-6, 2E-F, 3F-K, 4C-F, 5H, 5K-L, 5V, Resumes) 10 pts ___
- The evaluation team collectively demonstrates cultural competence and uses appropriate evaluation strategies and skills to work with culturally different groups. (DQ4-8, 2D, 3D-E, 4B, 4D, 5C-D, 5F-G, 5I-K) 15 pts ___

Qualifications of the Firm - Technical experience in performing data collection, evaluation and research of a closely similar nature; experience working with public, private and non-profit agencies; experience performing the tasks required in the Scope of Work, technical and financial strength, stability of the firm; and the strength, stability, experience and technical competence of subcontractors.

Maximum of 55 pts

- Firm demonstrates successful experience and capacity in managing multifaceted, large-scale research and evaluation projects. (DQ1, DQ9, 1D-E, 2C, 3 A-K, 4B-E, 5H-I, 5K-M, 5Q) 10 pts ____

- Firm demonstrates professional relationships and leadership in the child development and education fields. (DQ6, DQ3, 3C, 3H, 4A) 10 pts ____

- Firm has experience in doing community level evaluation, facilitation, and consensus building with high availability for numerous meetings and planning sessions throughout the state. (DQ1-2, DQ3, DQ5, DQ8-9, 2C, 3J, 5M, 5S-U) 10 pts ____

- Firm has resources and experiences in data collection, data analysis, and data reporting along with managing multiple data sources, systems and data sets. (DQ2, 1A-B, 2E-F, 3F-K, 4A, 4C-F, 5K-L, 5N, 5P-R) 10 pts ____

- Firm demonstrates effectively working with diverse cultural and ethnic groups, use of multiple languages, with a commitment to diversity, that is consistent with First 5 California's Equity Principles. (DQ 4-8, 5I-K, 5T) 15 pts____

Cost - Reasonableness of the cost structure, in relation to services proposed. It is anticipated that the total 3-year cost of this proposal should not exceed $20 million. Points will be awarded within this criterion by dividing the cost of the lowest responsive bid, by the cost of each individual bid respectively, and multiplying the result by the 60 available points. {For example if the lowest responsive bid is $17,000,000 and bid A is $18,000,000}. The points awarded would be ($17,000,000 /$18,000,000) x 60 or 57 points}.

Maximum of 60 pts

- Cost (________/________) X 60 = ______ 60 pts____

Total Points for this Proposal_____/200

7) Award and Protest

a. In the event of a tie score, the award will be determined by a coin toss. The coin toss will be held in the State Agency's headquarters area office. This is a public event, which the proposers will be invited to attend. The selection of the Contractor will be at the sole discretion of the State.

b. Notice of the proposed award shall be posted in a public place in the office of California Children and Families Commission, 501 J Street, Suite 530, Sacramento, California and on the following Internet site: www.ccfc.ca.gov for five (5) working days prior to awarding the agreement.

c. If any proposer, prior to the award of agreement, files a protest with the California Children and Families Commission and the Department of General Services, Office of Legal Services, 707 Third Street, 7th Floor, Suite 7-330, West Sacramento, CA 95605, on the grounds that the (protesting) proposer would have been awarded the contract had the agency correctly applied the evaluation standard in the RFP, or if the agency followed the evaluation and scoring methods in the RFP, the agreement shall not be awarded until either the protest has been withdrawn or the Department of General Services has decided the matter. It is suggested that you submit any protest by certified or registered mail.

d. Within five (5) days after filing the initial protest, the protesting proposer shall file with the Department of General Services, Office of Legal Services and the California Children and Families Commission a detailed statement specifying the grounds for the protest.

e. Upon resolution of the protest and award of the agreement, Contractor must complete and submit to the awarding agency the Payee Data Record (STD 204), to determine if the Contractor is subject to state income tax withholding pursuant to California Revenue and Taxation Code Sections 18662 and 26131. This form can be found on the Internet at www.osp.dgs.ca.gov under the heading STANDARD FORMS; select "Forms Search", and enter the form number "204".. No payment shall be made unless a completed STD 204 has been returned to the awarding agency.

f. Upon resolution of the protest and award of the agreement, Contractor must sign and submit to the awarding agency, *page one (1)* of the Contractor Certification Clauses (CCC) which can be found on the Internet at www.dgs.ca.gov/contracts .

8) Disposition of Proposals

a) Upon proposal opening, all documents submitted in response to this RFP will become the property of the State of California, and will be regarded as public records under the California Public Records Act (Government Code Section 6250 et seq.) and subject to review by the public.

b) Proposal packages may be returned only at the proposer's expense, unless such expense is waived by the awarding agency.

9) Agreement Execution and Performance

a) Performance shall start not later than 10 days, or on the express date set by the awarding agency and the Contractor, after all approvals have been obtained and the agreement is fully executed. Should the Contractor fail to commence work at the agreed upon time, the awarding agency, upon five (5) days written notice to the Contractor, reserves the right to terminate the agreement. In addition, the Contractor shall be liable to the State for the difference between Contractor's Proposal price and the actual cost of performing work by another contractor.

b) All performance under the agreement shall be completed on or before the termination date of the agreement.

D) Preference Programs

The Standard Agreement language for the preference programs can be found at the Internet web sites listed below:

1) Small Business Preference
www.pd.dgs.ca.gov/smbus/sbcert.htm

2) Target Area Contract Preference Act (TACPA)
www.pd.dgs.ca.gov/edip/tacpa.htm

3) Local Agency Military Base Recovery Area (LAMBRA) Act
www.pd.dgs.ca.gov/edip/lambra.htm

4) Enterprise Zone Act (EZA)
www.pd.dgs.ca.gov/edip/eza.htm

E) Required Attachments

An explanation of the Disabled Veteran Enterprise Program (DVBE) requirements can be found at the Internet web site www.pd.dgs.ca.gov/dvbe/default.htm. Select "DVBE Resource Packet" under "Related Web Sites.

The DVBE package and the required submittal forms can be found at the Internet web site listed above.

Refer to the following pages for additional Required Attachments that are a part of this agreement.

ATTACHMENT 1

REQUIRED ATTACHMENT CHECK LIST

A complete proposal or proposal package will consist of the items identified below. Complete this checklist to confirm the items are in your proposal. Indicate the page number(s) or place a check mark or "X" next to each item that you are submitting to the State. For your proposal to be responsive, all required attachments must be returned. Return this checklist with your proposal package.

	Attachment	**Attachment Name/Description**
_____	Attachment 1	Required Attachment Check List
_____	Attachment 2	Proposal/Proposer Certification Sheet
_____	Attachment 3	Cost Sheet
_____	Attachment 4	Proposer References
_____	Attachment 5	Disabled Veteran Business Enterprise Participation Forms and Instructions
		Std. 840 Disabled Veteran Business Enterprise Participation Summary (page 1).
		Good Faith Effort Documentation – Exhibit A (3 pages)
_____	Attachment 6	Payee Data Record (STD 204) (if currently not on file)
_____	Attachment 7	Contractor Certification Clauses (CCC) (CCC 1005) The CCC can be found on the Internet at www.ols.dgs.ca.gov/Standard+Language.
_____	Attachment 8	Target Area Contract Preference Act (TACPA)
_____	Attachment 9	Enterprise Zone Act (EZA)
_____	Attachment 10	Local Agency Military Base Recovery Area (LAMBRA) Act

ATTACHMENT 2

PROPOSAL/PROPOSER CERTIFICATION SHEET

This Proposal/Proposer Certification Sheet must be signed and returned along with all the "required attachments" as an entire package in duplicate with original signatures. The proposal must be transmitted in a sealed envelope in accordance with RFP instructions.

Do not return Section C, Proposal Requirements and Information, pages 17 through 23, nor the "Sample Agreement" at the end of this RFP.

For RFP Secondary Only

A. Place all required attachments behind this certification sheet.

B. I have read and understand the DVBE Participation requirements and have included documentation demonstrating that I have met the participation goals or have made a good faith effort.

C. The signature affixed hereon and dated certifies compliance with all the requirements of this proposal document. The signature below authorizes the verification of this certification.

An Unsigned Proposal/Proposer Certification Sheet May Be Cause For Rejection

1. Company Name	2. Telephone Number ( )	2a. Fax Number ( )
3. Address		
Indicate your organization type: 4. ☐ Sole Proprietorship	5. ☐ Partnership	6. ☐ Corporation
Indicate the applicable employee and/or corporation number: 7. Federal Employee ID No. (FEIN)	8. California Corporation No.	
9. Indicate applicable license and/or certification information:		
10. Proposer's Name (Print)	11. Title	
12. **Signature**	13. Date	
14. Are you certified with the Department of General Services, Office of Small Business and DVBE Certification as:		
a. California Small Business Enterprise Yes ☐ No ☐ If yes, enter certification number: ________________________	b. Disabled Veteran Business Enterprise Yes ☐ No ☐ ________________________	
NOTE: A copy of your Certification is required to be included if either of the above items is checked **"Yes"**. Date application was submitted to OSBCR, if an application is pending:		

Completion Instructions for Proposal/Proposer Certification Sheet

Complete the numbered items on the
Proposal/Proposer Certification Sheet by following the instructions below.

Item Numbers	Instructions
1, 2, 2a, 3	Must be completed. These items are self-explanatory.
4	Check if your firm is a sole proprietorship. A sole proprietorship is a form of business in which one person owns all the assets of the business in contrast to a partnership and corporation. The sole proprietor is solely liable for all the debts of the business.
5	Check if your firm is a partnership. A partnership is a voluntary agreement between two or more competent persons to place their money, effects, labor, and skill, or some or all of them in lawful commerce or business, with the understanding that there shall be a proportional sharing of the profits and losses between them. An association of two or more persons to carry on, as co-owners, a business for profit.
6	Check if your firm is a corporation. A corporation is an artificial person or legal entity created by or under the authority of the laws of a state or nation, composed, in some rare instances, of a single person and his successors, being the incumbents of a particular office, but ordinarily consisting of an association of numerous individuals.
7	Enter your federal employee tax identification number.
8	Enter your corporation number assigned by the California Secretary of State's Office. This information is used for checking if a corporation is in good standing and qualified to conduct business in California.
9	Complete, if applicable, by indicating the type of license and/or certification that your firm possesses and that is required for the type of services being procured.
10, 11, 12, 13	Must be completed. These items are self-explanatory.
14	If certified as a California Small Business, place a check in the "yes" box, and enter your certification number on the line. If certified as a Disabled Veterans Business Enterprise, place a check in the "Yes" box and enter your service code on the line. If you are not certified to one or both, place a check in the "No" box. If your certification is pending, enter the date your application was submitted to the Office of Small Business and DVBE Certification.

ATTACHMENT 3
(Optional)

SAMPLE COST PROPOSAL WORK SHEET

DIRECT LABOR	HOURS	RATE	TOTAL	
Program Manager	___________@	___________	___________	
Researchers	___________@	___________	___________	
Survey Staff	___________@	___________	___________	
Clerical	___________@	___________	___________	
				$___________
SUBCONTRACTOR(S) COSTS	**HOURS**	**RATE**	**TOTAL**	
Program Manager	___________@	___________	___________	
Researchers	___________@	___________	___________	
Research Assistants	___________@	___________	___________	
Clerical	___________@	___________	___________	
				$___________
INDIRECT COSTS (OVERHEAD AND FRINGE BENEFITS)				
Overhead Rate		___________	___________	
Fringe Benefits		___________	___________	
				$___________
DIRECT COSTS (EXCEPT LABOR)				
Travel Costs			___________	
Equipment and Supplies (Itemized)			___________	
Other Direct Costs (Itemized)			___________	
				$___________
TOTAL COSTS				$___________

ATTACHMENT 4

PROPOSER REFERENCES

Submission of this attachment is mandatory. Failure to complete and return this attachment with your proposal will cause your proposal to be rejected and deemed non-responsive.

List below three references of similar types of services performed within the last five years. If three references cannot be provided, please explain why on an attached sheet of paper.

REFERENCE 1			
Name of Firm			
Street Address	City	State	Zip Code
Contact Person		Telephone Number	
Dates of Service		Value or Cost of Service	
Brief Description of Service Provided			

REFERENCE 2			
Name of Firm			
Street Address	City	State	Zip Code
Contact Person		Telephone Number	
Dates of Service		Value or Cost of Service	
Brief Description of Service Provided			

REFERENCE 3			
Name of Firm			
Street Address	City	State	Zip Code
Contact Person		Telephone Number	
Dates of Service		Value or Cost of Service	
Brief Description of Service Provided			

F)Referenced Documents

The referenced documents attached below are the expanded reports. These documents are not required to be returned with your proposal. These documents are provided for your information only. They can be viewed and/or downloaded from the CCFC web site at www.ccfc.ca.gov (Funding Information and RFPs).

The Statewide Research and Evaluation Framework
The Special Needs Project Evaluation Working Draft
The Preschool For All Overview

Note to Bidders:

The following 14 pages represent a sample of the contract that will be awarded, if any, from this RFP. Please review it carefully and present any questions in writing to the contact person identified on the cover letter for this RFP.

STATE OF CALIFORNIA
F) STANDARD AGREEMENT
STD. 213 (Rev 06/03)

AGREEMENT NUMBER	REGISTRATION NUMBER
CCFC 7001	

SAMPLE

1. This Agreement is entered into between the State Agency and the Contractor named below

STATE AGENCY'S NAME
California Children and Families Commission (CCFC)

CONTRACTOR'S NAME

2. The term of this Agreement is: May 1, 2006 through April 30, 2009

3. The maximum amount of this Agreement is: $ 21,000,000
Twenty One Million Dollars and No/100

4. The parties agree to comply with the terms and conditions of the following exhibits which are by this reference made a part of the Agreement:

Exhibit A – Scope of Work	XX Page(s)
Exhibit B – Budget Detail and Payment Provisions	XX Page(s)
Exhibit C* – General Terms and Conditions	______________
Check mark one item below as Exhibit D:	
☐ Exhibit D – Special Terms and Conditions (Attached hereto as part of this agreement)	XX Page(s)
☐ Exhibit D* Special Terms and Conditions	GTC or GIA___
Exhibit E – Additional Provisions	XX Page(s)

Items shown with an Asterisk (*), are hereby incorporated by reference and made part of this agreement as if attached hereto.
These documents can be viewed at www.ols.dgs.ca.gov/Standard+Language

IN WITNESS WHEREOF, this Agreement has been executed by the parties hereto.

CONTRACTOR		**California Department of General Services Use Only**
CONTRACTOR'S NAME *(If other than an individual, state whether a corporation, partnership, etc.)*		
BY *(Authorized Signature)*	DATE SIGNED (Do not type)	
PRINTED NAME AND TITLE OF PERSON SIGNING		
ADDRESS		
STATE OF CALIFORNIA		
AGENCY NAME California Children and Families Commission		
BY (Authorized Signature)	DATE SIGNED (Do not type)	
PRINTED NAME AND TITLE OF PERSON SIGNING Kris Perry, Executive Director		
ADDRESS 501 J Street, Suite 530, Sacramento, CA 95814		☐ Exempt per ______________

Rev. 3/26/01

EXHIBIT A
(Standard Agreement)

SCOPE OF WORK

1. Contractor agrees to provide to California Children and Families Commission (CCFC) services as outlined in the First 5 California Statewide Research and Evaluation Project, RFP CCFC 7001 and in the Contractor's written proposal, which are incorporated by reference and become a part of this Agreement, as described herein:

   The Contractor agrees to develop and conduct comprehensive research and evaluation efforts that demonstrate the efforts of First 5 funded programs on the lives of California's prenatal to age 5 and their families.

2. The services shall be performed statewide.

3. The services shall be provided during normal business hours, between 8:00 a.m. to 5:00 p.m. Monday through Friday, except holidays.

4. The Contractor agrees that should CCFC choose to exercise its option to extend up to two additional years, it does so with the option of extending the contract agreement leaving all terms, conditions and cost appropriations in full effect.

5. The project representatives during the term of this agreement will be:

State Agency:	Contractor:
Name:	Name:
Phone:	Phone:
Fax:	Fax:

Direct all inquiries to:

State Agency	Contractor:
Section/Unit:	Section/Unit:
Attention:	Attention:
Address:	Address:
Phone:	Phone:
Fax:	Fax:

6 Contractor Agrees to provide services in the manner specified herein and as detailed in Attachment 1, titled Detailed Scope of Work.

ATTACHMENT I
(Detailed Scope of Work)

The Contractor agrees to perform the following tasks as specified below:

Task 1: 100% State Funded

With the 20% of the Proposition 10 tax revenue allocated to the State Commission, First 5 California has strategically invested funds to help First 5 move closer to ensuring that children are ready to enter school healthy, ready to learn, and able to reach their full potential. These projects are developed and administered by State Commission staff and usually conducted by outside contractors.

A. Review and revise the current mid-year progress and annual progress report formats for State funded programs.
B. Develop and implement a plan to incorporate the information from the state-funded programs' progress reports into the Center for Results' Repository.
C. Develop and implement a process to incorporate and effectively access research and/or evaluation studies/reports received from State funded entities into the Center for Results' Repository.
D. Develop and implement a mechanism to include project results in the Annual Report
E. Develop and implement appropriate plan for distribution to stakeholders.
F. Review and update *Results to be Achieved* (www.ccfc.ca.gov) document to align with Framework.
G. Review and update the *State Guidelines* (www.ccfc.ca.gov) document to align with the revised *Results to be Achieved* and the Framework.

Task 2: 100% County Funded

County Commissions are the primary point of evaluation for locally funded projects (those funded with their allocated share of the Prop. 10 revenue). The Framework clearly places the responsibility for local evaluation on the County Commission supporting the program. County Commissions are required to submit to the State as part of their Annual Report submission: (1) accountability data on the programs funded, in a format prescribed by the State; (2) narrative summary of their evaluation results from the prior fiscal year; and (3) evaluation studies, when available, in order to support Statewide evaluation efforts. County Commissions are expected to be responsive to any inquiries from the State regarding evaluation efforts and/or program results.

A. Review, edit, and implement state protocols and procedures for submission of descriptive and fiscal data.
B. Develop and implement a process for identifying locally demonstrated best practices, model program and/or innovative strategies that would benefit statewide distribution.
C. Distribute identified documents to the appropriate audiences, and incorporate the information into the Annual Report.
D. Provide technical assistance to counties to establish and support appropriate data submission protocols and training on standard reporting formats.
E. Provide technical assistance to counties needing support with data collection and local program evaluation.
F. Analyze the 3 levels of collected data and answer stakeholders' "top questions" (listed in the Framework) as they pertain to county funded projects.
G. Develop and implement procedures for the submittal of local evaluation results to the Center for Results.
H. Incorporate results of analysis into the Annual Report.

Task 3: School Readiness (SR) Initiative

ATTACHMENT I
(Detailed Scope of Work)

For State School Readiness, the Framework details a collaborative effort in which County Commissions will be responsible for collecting and submitting fiscal, program descriptive data by the four Result Areas, service categories, and outcome data. SR programs may also be identified to participate in longitudinal, comparison and/or other research studies.

A. Review each school readiness application.
B. Review state protocols and procedures of the submission of descriptive, fiscal and outcome data for School Readiness Programs.
C. Develop recommendations to enhance the submission process.
D. Implement enhanced submission process.
E. Develop and implement a process for identifying local best practices, model program and/or innovative strategies that could be used for learning.
F. Distribution of identified local reports to appropriate stakeholders
G. Include report findings in the Annual Report.
H. Analyze the 3 levels of collected data and answer stakeholders' "top questions" (listed in the Framework) as they pertain to SR program.
I. Design and conduct a longitudinal study within the SR Initiative.
J. Develop and implement process(s) to support counties in identifying relevant evaluation outcomes that support the work of the School Readiness Initiative.
K. Incorporate submitted county evaluation results into the Annual Report.
L. Conduct the Kindergarten Entry Profile (KEP) study in year 1 and year 3 of the contract.
M. Review the draft outcomes and indicators menu so it effectively reflects the range of SR Initiative program goals and investments.
N. Validate, refine, and finalize the draft menu.
O. Review each school readiness application's data submission procedures.
P. Provide technical assistance, as needed, to SR sites to support appropriate data collection protocols and submission of data.
Q. Assist counties with mapping the required data elements to the standard reporting format.

Task 4: Other Joint Funded

Joint programs, are those programs that are developed and funded by the State and require a County Commission match. The program and evaluation design is determined by the State, with county participation and input.

Special Needs Project (SNP)

Continue the current SNP data collection and evaluation process as outlined in Document 2
A. Data analyses and reports on results.
B. Design and complete the SNP annual evaluation reports.
C. Incorporate results into Annual Report and the Center for Results

Preschool For All (PFA)

A. Review evaluation designs and components of locally implemented PSA programs.
B. Develop and implement PSA Demonstration Site evaluation design that builds on and compliments local PSA evaluation efforts.
C. Design and conduct a PFA longitudinal study.
D. Design and implement an evaluation plan for the Preschool for All Demonstration Project (Document 3)
E. Do data analyses and annual evaluation reports.

ATTACHMENT I
(Detailed Scope of Work)

F. Included evaluation results in the Center for Results repository
G. Incorporated results into the Annual Report.
H. Develop a PFA data collection module.
I. Provide training and support to the demonstration sites for implementation, data collection and reporting consistency.

Task 5: Center for Results

The Center for Results will be the centralized “clearing house” for the data, information, evaluation reports and research studies coming from each category as well as the policy-and decision-making structure to guide this effort.

A. Create and maintain a central repository of First 5 evaluation data and information.
B. Identify relevant data sources on the conditions of children 0-5 and their families to enhance and support the accountability and learning purposes of the Framework.
C. Organize, summarize, analyze and communicating local descriptive data submitted by County Commissions.
D. Organize, summarize, analyze, and communicate local evaluation results submitted by County Commissions.
E. Identify and disseminate results to the appropriate First 5 stakeholders (as identified in the Framework).
F. Design and conduct a SR and PFA longitudinal study and the resulting products (deliverables).
G. Design and conduct a cost benefit study and the resulting products (deliverables).
H. Design and conduct three focused research or evaluation studies involving locally funded programs (across counties or within a single county) with, but not limited to, common strategies, goals and/or targeting a specific population.
I. Review local, state, and national evaluation/research reports in order to recommend areas for in-depth, case, comparison or other evaluation/research studies.
J. Provide TA to counties on the functions and use of the Center for Results.
K. Incorporate submitted local data and results into the Annual Report to the Legislature and Governor. .
L. Produce three publications per year: the contractor will prepare, publish and distribute non-technical publications that may include newsletters, policy /issue briefs, formal briefings, and/or presentations.
M. Review and edit the draft research and evaluation glossary of terms to ensure common understandings among counties and between counties and the State Commission.
N. Annually prepare, publish and distribute the First 5 CA Annual Report.
O. Assist State Commission staff, on an annually basis, with briefing members of the First 5 California Commission, Governor’s office and/or the State Legislature on the Annual Report.
P. Maintains effective communication and work collaboratively with other State and local contractors as needed.
Q. Develop innovative presentations or communications tools to convey research results to a broad audience including practitioners, parents, policy makers, and commission staffs.
R. Submit monthly progress reports that outline the activities of the Center, contractor and subcontractors by tasks and subtasks.
S. Design and execute a sampling plan for the research studies.

EXHIBIT B
(Standard Agreement)

BUDGET DETAIL AND PAYMENT PROVISIONS

1. **Invoicing and Payment**

   A. For services satisfactorily rendered, and upon receipt and approval of the invoices, the State agrees to compensate the Contractor for actual expenditures incurred in accordance with the rates specified in Attachment I, titled ____________, which is attached hereto and made a part of this Agreement.

   B. Invoices shall include the Agreement Number, sufficient scope and detail to define the actual work performed and specific milestones completed, including a description of the activities of the Contractor and Subcontractor, the hours allocated to those activities, the locations where work was performed, the expenses claimed, any required reports, and shall be submitted in duplicate not more frequently than monthly in arrears to:

      California Children and Families Commission
      Attention: Sandy Beck
      501 J Street, Suite 530
      Sacramento, CA 95814
      (916) 323-0056

   C. If an invoice is disputed, the Contactor will be notified within seven (7) working days of receipt of the invoice. The Contractor will be informed of the reason for the dispute and the disposition of the invoice. If the invoice is corrected, notification will be verbal and will not stop the payment process. However, if the invoice is unacceptable and cannot be processed, the issuance of a written dispute will stop the clock for prompt payment, and processing will not be restarted until the corrected invoice is returned to CCFC.

   D. For all expenses claimed, each invoice shall include all documents necessary to support the charges.

2. **Budget Contingency Clause**

   A. This Agreement is valid and enforceable only if sufficient funds are available in the appropriate account of the California Children and Families Trust Fund with which to carry out the purposes of this Agreement. In addition, this Agreement is subject to any additional restrictions, limitations, or conditions enacted by the Legislature, or any statute enacted by the Legislature, that may affect the provisions, terms or funding or this Agreement in any manner.

   B. Contractor understands and agrees that this Agreement is subject to the condition that sufficient funds are available in the appropriate account of the California Children and Family Trust Fund. If sufficient funds are not available in the appropriate account of the California Children and Families Trust Fund due to a decrease in projected tax revenue collected pursuant to Revenue and Taxation Code section 30131.2, this Agreement shall be invalid and of no further force and effect. In this event, the State of California and/or the California Children and Families Commission shall have no liability to pay any funds whatsoever to the Contractor or to furnish any other considerations under this Agreement, and the Contractor shall not be obligated to perform any provisions of this Agreement.

3. **Prompt Payment Clause**

   Payment will be made in accordance with, and within the time specified in, Government Code Chapter 4.5, commencing with Section 927.

EXHIBIT B
(Standard Agreement)

4. **Travel Reimbursement**

CCFC agrees to reimburse authorized travel and per diem expenses incurred in the performance of services being provided to CCFC. Any necessary travel will NOT exceed State rates and be in accordance with current Department of Personnel Administration (DPA), Section 599.619. Travel expenditures must be itemized and submitted, coupled with receipts and expense documentation on State travel forms. NO travel outside California will be reimbursed without PRIOR written authorization from CCFC. Any invoices submitted without this referenced information may be returned to the Contractor for further re-processing.

5. **Progress Reports**

Contractor shall submit progress reports to State representative, as required, describing work performed, work status, work progress difficulties encountered, remedial action, and statement of activity anticipated subsequent to reporting period for approval prior to payment of invoices. Contractor to be reimbursed by invoicing, in detail, all costs and charges with Contract Number and send to designated address.

6. **Progress Payments**

Progress payments are permitted for tasks completed under this contract. Ten percent of the invoiced amount shall be withheld pending final completion of each task. Any funds withheld with regard to a particular task may be paid upon completion of that task.

ATTACHMENT I
(Budget)
(TO BE ADDED UPON AWARD OF THE AGREEMENT)

EXHIBIT D
(Standard Agreement)

SPECIAL TERMS AND CONDITIONS

1. Excise Tax

The State of California is exempt from federal excise taxes, and no payment will be made for any taxes levied on employees' wages. The State will pay for any applicable State of California or local sales or use taxes on the services rendered or equipment or parts supplied pursuant to this Agreement. California may pay any applicable sales and use tax imposed by another state.

2. **Conflict of Interest**

A. The State intends to avoid conflicts of interest or the appearance of conflicts of interest on the part of the Contractor, subcontractors, or employees, officers, and directors of the Contractor or subcontractors. Thus, the State reserves the right to determine, at its sole discretion, whether any information received from any source indicates the existence of a conflict of interest.

B. If the State becomes aware of a known or suspected conflict of interest, the Contractor or subcontractor will be given an opportunity to submit additional information or to resolve the conflict. A Contractor or subcontractor with a suspected conflict of interest will have five (5) working days from the date of notification of the conflict by the State to provide complete information regarding the suspected conflict. If a conflict of interest is determined to exist by the State and cannot be resolved to the satisfaction of the State, before or after the award of the Agreement, the conflict will be grounds for termination of the Agreement.

3 Settlement of Disputes

In the event of a dispute, Contractor shall file a "Notice of Dispute" with California Children and Families Commission, Executive Director within ten (10) days of discovery of the problem. Within ten (10) days, the Executive Director shall meet with the Contractor and Project Manager for purposes of resolving the dispute. The decision of the Executive Director shall be final.

In the event of a dispute, the language contained within this Agreement shall prevail over any other language including that of the bid proposal.

4. **Subcontractors and Vendors**

A. As used in this Agreement, the term “subcontractor” shall include any individual or entity that enters into a written subcontract with the Contractor for performance of any part of this Agreement.

B. No portion of the work under this Agreement may be subcontracted by the Contractor without the express written consent of CCFC. CCFC ’s acceptance of the subcontractor shall be contingent upon the review and approval of the final written subcontract and the subcontractor’s Conflict of Interest Certificate. No subcontract entered into by the Contractor under this Agreement shall in any way release the Contractor from any term or provision of this Agreement.

5. **Potential Subcontractors**

Nothing contained in this Agreement or otherwise, shall create any contractual relation between the State and any subcontractors, and no subcontract shall relieve the Contractor of his responsibilities and obligations hereunder. The Contractor agrees to be as fully responsible to the State for the acts and omissions of its subcontractors and of persons either directly or indirectly employed by any of them as it is for the acts and omissions of persons directly employed by the Contractor. The Contractor's obligation to pay its subcontractors is an independent obligation from the State's obligation to make

EXHIBIT D
(Standard Agreement)

payments to the Contractor. As a result, the State shall have no obligation to pay or to enforce the payment of any moneys to any subcontractor.

6. **Evaluation of Contractor**

Performance of the Contractor under this Agreement will be evaluated. The evaluation shall be prepared on Contract/Contractor Evaluation Sheet (STD 4), and maintained in the Agreement file. For consultant Agreements, a copy of the evaluation will be sent to the Department of General Services, Office of Legal Services, if it is negative and over $5,000.

7. **Confidentiality**

A. All data and information related to CCFC operations, which are designated confidential by CCFC or developed by the Contractor and deemed confidential by CCFC, shall be properly safeguarded and protected by the Contractor from unauthorized use and disclosure. At a minimum, during non-working hours, CCFC paper and or electronic documents, reference materials, or any materials related thereof shall be kept in a locked, secure place. All electronic data shall be password protected and secure at all times.

B. The Contractor and his or her employees are hereby considered agents only for confidential data purposes and will be liable under the State and Federal statutes for unauthorized disclosures. In the event of subcontracting, the subcontractor and its employees will also be considered agents only for confidential data purposes, and will be held liable under said state and federal statutes.

C. The Contractor and all subcontractors shall immediately notify CCFC of any request from a third party for disclosure of any information relating to this Agreement, including, but not limited to, subpoena, deposition proceedings, court order or other legal action. Unless CCFC authorizes the disclosure of the information in writing, the Contractor and all subcontractors shall use every means, to the maximum extent permitted by law and at no cost to the State, to protect the information from disclosure.

8. **Lobbying, Political Activities, and Politicians**

A. The Contractor shall not use Agreement funds for direct or indirect lobbying.
   (1) Direct lobbying, for the purposes of this Agreement, is defined as any explicit attempt to promote a yes or no vote on a specific piece of legislation, local ordinance or ballot measure through any oral, written or other form of communication with any member or employee of a legislative body, or any government official or employee who participates in the formulation of, or decision-making regarding that specific piece of legislation, local ordinance or ballot measure.
   (2) Indirect lobbying, for the purposes of this Agreement, is defined as any oral or written communication to the general public or any segment of the general population which explicitly attempts to promote a yes or no vote on a specific piece of legislation, local ordinance or ballot measure by encouraging the recipients of the communication to attempt to influence a legislator or an employee of a legislative body or any other government official or employee who participates in the formulation of, or decision-making regarding that legislation, local ordinance or ballot measure.

B. The Contractor shall not use Agreement funds to promote a yes or no vote on a ballot measure.

C. The Contractor shall not use Agreement funds to promote, directly or indirectly, any candidate for an elective public office.

EXHIBIT D
(Standard Agreement)

D. The Contractor and its subcontractors shall not feature the image or voice of any elected public official or candidate for public office, nor shall the Contractor and its subcontractors directly represent the views of any elected public official or candidate for public office, in any work generated by this Agreement.

9. **News Releases and Publicity**

The Contractor shall not issue any news release or make any statement to the news media regarding the operational procedures of this Agreement, the meetings or decisions related to this Agreement, or to the status of work related to this Agreement without prior written approval of CCFC.

10. **Termination for Convenience**

CCFC retains the option to terminate this Agreement without cause at CCFC's convenience, provided that written notice has been delivered to the Contractor at least thirty (30) days prior to such termination date. If CCFC terminates this Agreement at its convenience, the Contractor will be entitled to compensation upon submission of an invoice and proper proof of claim, in that proportion which its services and products were satisfactorily rendered or provided and its expenses necessarily incurred pursuant to this Agreement, up to the date when notice of termination is received by the Contractor (hereinafter referred to as "the notice date"). In such event, at the request of CCFC, the Contractor shall furnish copies of all proposals, specifications, designs, procedures, layouts, copy, and other materials related to the services or deliverables provided under this Agreement, whether finished or works in progress on the termination date. The Contractor will not be entitled to reimbursement for any expenses incurred for services and deliverables pursuant to the Agreement after the notice date, unless the Contractor receives written advance approval from the State. Any services or deliverables for which the Contractor is paid which are provided according to the procedures in this paragraph shall become the property of CCFC.

11. Responsibilities Upon Termination

After receipt of notification of termination of this Agreement, and except as otherwise specified by the State, the Contractor shall stop work under this Agreement on the date specified in the written notice of termination. The Contractor shall do all of the following:

A. Place no further orders or subcontracts for materials, services, or facilities except as may be necessary for completion of such portion of the work under this Agreement that is not terminated;
B. Assign to the State, effective on the date of termination, in the manner, and to the extent specified by the State all of the rights, titles, and interests for the Contractor under the orders and subcontracts terminated, in which case the State has the right, at its discretion, to settle or pay any or all claims arising out of the termination of such orders and subcontracts and reduce any settlement amount determined by the amount paid for such orders or subcontracts;
C. Settle all outstanding liabilities and all claims arising out of such termination of orders and subcontracts, with the approval or ratification of the State to the extent the State may require. The State's approval or ratification shall be final for the purposes of this section;
D. Upon the effective date of termination of the Agreement and the payment by the State of all items properly chargeable to the State hereunder, Contractor shall transfer, assign, and make available to the State all property and materials belonging to the State, all rights and claims to any and all reservations, Agreements, and arrangements with owners of media/PR materials, or others, and shall make available to the State all written information regarding the State's media/PR materials, and no extra compensation is to be paid to Contractor for its services in connection with any such transfer or assignment;
E. Take such action as may be necessary, or as the State may specify, to protect and preserve any property related to this Agreement which is in the possession of the Contractor and in which the State has or may acquire an interest.

EXHIBIT D
(Standard Agreement)

12. Contractor Name Change

Contractor shall provide a written notice to the State at least thirty (30) days prior to any changes to the Contractor’s current legal name.

EXHIBIT E
(Standard Agreement)

ADDITIONAL PROVISIONS

1. **Copyrights and Ownership of Products**

A. The State shall be the owner of all rights, title, and interest in, not limited to the copyright to, any and all Products created, provided, or developed under this Agreement, whether or not published or produced. The copyright to any and all Products created, provided, or developed under this Agreement, whether or not published or produced, belongs to the State from the moment of creation.

B. The State retains all rights to use, reproduce, distribute, or display any Products created, provided, developed, or produced under this Agreement and any derivative products based on Agreement Products, as well as all other rights, privileges, and remedies granted or reserved to a copyright owner under statutory and common-law copyright law.

C. At any time the Contractor enters into an Agreement with another party in order to perform the work required under this Agreement, the Contractor shall require the Agreement to include language granting the State the copyright for any Products created, provided, developed, or produced under the Agreement and ownership of any Products not fixed in any tangible medium of expression. In addition, the Contractor shall require the other party to assign those rights to the State in a format prescribed by the State. For any Products for which the copyright is not granted to the State, the State shall retain a royalty-free, nonexclusive, and irrevocable license throughout the world to reproduce, to prepare derivative products, to distribute copies, to perform, to display, or otherwise use, duplicate, or dispose of such Products in any manner for governmental purposes and to have or permit others to do so.

D. All Products distributed under the terms of this Agreement and any reproductions of products shall include a notice of copyright in a place that can be visually perceived at the direction of CCFC. This notice shall be placed prominently on Products and set apart from other matter on the page or medium where it appears. The notice shall state “Copyright” or “©,” the year in which the work was created, and “California Children and Families Commission”. When space does not permit, and with advance approval of CCFC Contract Manager or his/her designee, “California Children and Families Commission may be abbreviated “CCFC”.

2. **Rights in Data**

Notwithstanding any other provision of this Agreement or its Exhibits, Contractor and CCFC understand and agree that the provision entitled “Copyrights and Ownership of Products” governs all ownership right to data files and databases.

3. **Release of Products**

The Contractor shall not release or disclose any products created, produced, or developed pursuant to this Agreement to any person, except to contractor personnel, subcontractors, attorneys, prospective vendors, Contractor’s law firms, and other companies or individuals who are necessary for, and are to be directly involved in, the development, production, distribution of the products. Products include, but are not limited to, drafts or works in progress. The Contractor shall employ reasonable procedures to protect these products from unauthorized use and disclosure. The State retains the right to approve any procedures employed by the Contractor to comply with this provision.

EXHIBIT E
(Standard Agreement)

4. **Equipment Purchased with State Funds**

Any equipment or software acquired for the purpose of performing the contracted services will be acquired by the Contractor with approval from CCFC. Further, the contractor agrees to retain title, ownership, and control of such acquisitions, and CCFC will take no interest in such equipment after performance is completed and the Agreement is terminated.

5. **Consultant - Staff Expenses**

The Contractor represents that it has or shall secure at its own expense, all staff required to perform the services described in this Agreement. Such personnel shall not be employees of or have any contractual relationship with any governmental entity.

6. **DVBE Reporting Requirements**

Contractor agrees to provide verification, in a form agreed to by the state, that DVBE subcontractor participation under this Agreement is in compliance with the goals specified at the time of award of contract, or with any subsequent amendment.

7. **Termination for Convenience**

The State may terminate performance of work under this Agreement in whole, or in part, whenever for any reason the State determines that a termination is in the best interest of the State. Upon receipt of notice of termination for convenience, the Contractor shall be paid, at the rates specified in the Agreement for work performed prior to the effective date of the Notice of Termination. The Contractor further agrees to use all reasonable efforts to mitigate expenses and obligations hereunder. In such event, the State shall pay the Contractor for all satisfactory services rendered and expenses incurred prior to such notice of termination, which could not by reasonable efforts of the Contractor have been avoided. Payments for these services and expenses shall not exceed the contract rates and the maximum amount payable under this Agreement.

8. **Principles on Equity**

In recognition of the significant gaps and disparities in the provision of services for children and their families and as observed in educational, health and other outcomes, the State Commission adopted the Principles on Equity in October 2001. With the adoption of the Principles on Equity, it is CCFC's expectation that contractors' policies and programs will equitably provide California's children (prenatal to 5) from diverse backgrounds and with diverse abilities with accessible, family-friendly, culturally competent, quality early childhood services and programs designed to help the Prop 10 funded programs embrace the spirit and direction of the Principles on Equity. Elements of the Principles on Equity must be evident in the contractor's work plan from program development through implementation and evaluation/reporting. There are four major components to the Principles on Equity:

1. Inclusive Governance and Participation
2. Access to Services
3. Legislative and Regulatory Mandates
4. Results-based Accountability

Contractor can refer to the booklet "A Guide To Doing Business With California Children & Families Commission" or the First 5 California website (www.ccfc.ca.gov) for the full text with the complete listing of the Principles on Equity.

First 5 California Preschool for All (PFA) Demonstration Projects Overview

June 2005

First 5 California
501 J Street, Suite 530
Sacramento, CA 95814

First 5 California Preschool For All Demonstration Projects Overview
Table Of Contents

Further information on Preschool for All may be found at
http://www.ccfc.ca.gov/rfp.htm

Preschool for All (PFA) Demonstration Project Overview

Background
The First 5 California Children and Families Commission (CCFC) approved $100M for the PFA Demonstration Projects in July 2003, of which $90M funds the PFA Demonstration Projects and $10M funds quality elements such as technical assistance, monitoring, start-up, and evaluation. Subsequently, the First 5 CCFC approved the Preschool for All (PFA) Demonstration Projects' criteria for selection and timeline for participation in January 2005. The PFA Demonstration Projects are part of a larger First 5 CCFC PFA Initiative that includes media and policy efforts, as well as Planning Projects and Technical Assistance Projects for First 5 County Commissions.

The PFA Demonstration Projects encompass the growing body of research that confirm what many parents, teachers, business leaders, and policy-makers know – when children attend high-quality preschools, they develop better emotional, intellectual, and social skills that benefit them throughout school and their lives. The research includes evidence of improved reading and math skills, less need for special education, fewer grade retentions, higher high school graduation rates, and less involvement in crime. The return on investment of public funds is substantial, between $2.62 and $7.00 for every dollar invested in high-quality preschool programs.[1]

Public support for preschool continues to grow since the 2003 First 5 survey that found that 80% of families with young children would send their children to a high-quality preschool program. There is strong support for the importance of preschool in closing the achievement gap of children entering kindergarten, and improving K-12 education. The PFA partnership connects with the California Department of Education (CDE) PFA Initiative that includes: developing early learning standards, building professional development for preschool teachers, implementing results-based accountability, and creating better transitions to kindergarten while involving stakeholders in all phases.

Policy support has kept pace with the release of the Universal Preschool Task Force Report (1998), the California Master Plan for Education (2002), legislation, private foundations such as the Packard Foundation and the advocacy work of Preschool California, and local initiatives. Examples of First 5 County Commission initiatives include: five counties that have begun implementation, plus the eleven PFA Planning Projects, and the approximately twenty counties participating in technical assistance for PFA.

- **Purpose and Scope**

Preschool for All (PFA) Demonstration Projects are a voluntary, high-quality, part-day preschool program for all four year-olds (or three and four year-olds) at a system-level (school district(s), city or county) that is designed to implement the PFA recommendation of California's Master Plan for Education. The PFA program will assist children in becoming personally, socially, and physically competent, effective learners, and ready to transition into

[1] "Kids Can't Wait to Learn" Preschool California, 2004 & "The Economics of Investing in Universal Preschool Education in California" Karoly, L. & Bigelow, J. RAND, 2005

kindergarten and the elementary grades. The PFA Criteria were developed through a collaborative process that began in 2003 and included First 5 County Commissions and the stakeholders involved with drafting AB56 (2004).

The PFA Demonstration Projects are designed to build on and integrate with the existing public and private providers of preschool programs. At entry, all PFA facilities will be licensed (Title 22) and meet regulatory quality standards for the State Preschool Program (Title 5)[2] and other PFA entry criteria as described in Criterion #1-5, in addition to the minimum teacher qualifications for beginning PFA sites as described in Criteria #6. The goal is to have the PFA Demonstration Projects meet the PFA Criteria within 5 years through local policy and fiscal commitments that receive additional support from First 5 CCFC. The expanded version of the First 5 PFA Quality Criteria is found in Attachment A.

The purposes of PFA Demonstration Projects:
1. Demonstrate the impact of voluntary preschool for all four year-olds (or three- and four-year-olds) on children's readiness for school and schools' readiness for children in a limited number of school districts, cities and counties representing California's language, cultural, and geographic diversity (education reform);
2. Provide a learning 'lab' for coordinated strategies, funding streams (including cost and finance models), and partners to implement high quality preschool programs in diverse settings (models for systems change);
3. Reduce disparities in children's outcomes by effectively addressing the language/cultural diversity of California's children and their families and providing programs inclusive of children with disabilities and other special needs (First 5 CCFC Equity Principles);
4. Inspire public will to expand preschool for all California children and fully implement the California Master Plan for Education PFA recommendation (policy/funding).

The First 5 CCFC will support local policy and fiscal commitments by contributing to quality improvements, such as higher teacher salaries when qualifications are achieved for 'new' and 'improved' preschool spaces. First 5 County Commission applicants will be responsible for the administrative functions for program and fiscal operation of the PFA Demonstration Project. Administration will include strategies such as: outreach activities to families and providers, parent involvement strategies, interagency agreements with key partners, training to provide inclusive preschool services for children with disabilities and special needs, culturally and linguistically diverse preschool programs, monitoring compliance with applicable regulations and quality criteria, contract activities, and funding PFA providers.

Target Population

The population targeted by the First 5 PFA Demonstration Projects is four year-olds. The goal is to serve at least 1000 preschoolers who are not yet eligible for Kindergarten (four year-olds, or three- and four- year-olds) that live in school district(s) attendance areas, or all

[2] Title 5, Title 22 and the Education Code are available on line through the CDE web site: www.cde.ca.gov. Click on "Specialized Programs" at the top right, then "Child Development" on the left, then scroll down to "Laws, Regulations, and Requirements" and click on that. Refer also to Attachment C: "Guidance on How to Address PFA Quality Criteria".

four year-olds in a city or in a county with as close to 1000 preschoolers as possible. Implementation will begin by focusing on developing preschools in underserved and high-priority communities, including communities with schools that have a current Academic Performance Index score in deciles 1-5. Preschools will appropriately serve children with diverse languages and cultures, as well as provide affirmative inclusion for children with disabilities and other special needs. Children with disabilities or other special needs (using the First 5 Special Needs Project definition) will be served, as appropriate. Implementation strategies are detailed in the PFA Expanded Criteria.

Funding:

The First 5 CA PFA Demonstration Projects will provide a common framework for financial and policy commitments and for quality standards with the goal of becoming part of California's public education system. First 5 CCFC has committed $90M to contribute to the County Commissions' PFA Demonstration Projects over 5 years (approximately November 2005 – June 2010) for funding new and improved preschool spaces in district(s), city, or countywide PFA systems. This RFA addresses the $90M for PFA Demonstration Projects. The First 5 CCFC funds will be awarded to First 5 County Commissions and will be available starting November 2005.

The goal is to expand preschool spaces (approximately 10,000 spaces/year) and improve preschool quality (approximately 20,000 spaces/year) using First 5 CCFC contributions of approximately $12M/year for new preschool spaces and $7M/year for improved quality. First 5 CCFC funds will:

1. Contribute to funding preschool spaces when PFA quality standards are met. Approximately:
   - $350 for an improved preschool space, defined as "publicly funded current and new preschool spaces," including Head Start, State Preschool, General Child Care, and some Family Child Care Homes, and
   - $1200 for a new preschool space, defined as "newly publicly funded preschool spaces" in diverse provider systems. Included in this category are non-subsidized spaces that are made available in an existing publicly funded program, such as Head Start, State Preschool, General Child Care, or in private centers and Family Child Care Homes/networks. These spaces would not be receiving federal or state subsidies for preschool hours in order to be viewed as "newly publicly funded" spaces.
2. Contribute to spaces that meet entry-level standards and fund incremental levels of quality improvements that advance towards PFA quality standards (PFA Forms 5, 6, and 7). First 5 CCFC reimbursement may be used to contribute to providers' salaries and the costs of a PFA Demonstration Project "system of quality improvements" as the PFA Demonstration Project ramps up to system-wide full access to high quality preschool spaces. Some publicly funded programs may meet entry-level requirements for First 5 PFA Demonstration Project minimum reimbursement. The First 5 CCFC contribution could be pooled to support preschool service and quality improvement costs for the PFA Demonstration Project.

This RFA represents First 5 CCFC's contribution to voluntary, free, high-quality preschool in local communities. First 5 CCFC anticipates the possibility of an additional application process for PFA Demonstration Projects in the future, depending on the results of this RFA process. Thus, First 5 CCFC support may contribute to additional First 5 PFA systems should funds be available at the completion of this RFA selection process. In addition, if other PFA funding becomes available, First 5 CCFC funds for PFA Demonstration Projects may be used to provide preschool to three year-olds or for other necessary supports for high quality PFA or for other First 5 CCFC priorities. Should such other PFA funding become available, First 5 CCFC may establish a reapplication and approval process for redirection of funds.

Approximately $1M of the First 5 CCFC approval of $10M for PFA quality enhancements has been allocated for technical assistance for counties at varying stages of planning and implementing PFA. Allocation of the remaining $9M will be determined through input from the selected PFA Demonstration Projects and First 5 CCFC. Possible investments include evaluation, monitoring, technical assistance, workforce development, and Project start-up costs.

Expected Project Outcomes and Evaluation

First 5 CCFC will collaborate with First 5 PFA Demonstration Projects, other interested First 5 County Commissions, the California Department of Education, and PFA partners to design an evaluation process for PFA that is integrated with the First 5 statewide evaluation system and can also address local program improvement and program effectiveness questions. First 5 CCFC is committed to implementing the new Evaluation Framework that supports sampling, when appropriate, and a longitudinal study of the First 5 PFA Demonstration Projects in collaboration with First 5 County Commissions and PFA partners. Statewide evaluation of PFA will be included in the First 5 CCFC Evaluation Contract to be awarded early next year. The goal for the PFA evaluation is to demonstrate benefits to young children that are measurable across the 5 domains (as defined by the National Education Goals Panel) of children's learning and development through the early elementary grades. Results will include: high quality preschool services available to all 4 year-olds; demonstrated progress for participating 4 year olds; improved school readiness success indicators (Kindergarten entry measures); and school success continuing through 3rd grade (retention, 3rd grade reading test scores).

The First 5 PFA Demonstration Projects will participate in the First 5 statewide evaluation, use PEDS (or First 5 CCFC approved system that links directly to PEDS), include the Special Needs Project module adapted for PFA, obtain confidentiality consent forms using First 5 standardized language for participants, and agree to share PFA data with First 5 CCFC and its designees. Application budgets need to demonstrate that funds and qualified staff will be allocated for evaluation of the project. Both the local and First 5 CCFC funds may be used to support the evaluation. Potential data sources may include the CDE Desired Results system, the Kindergarten Entry Profile, and standardized tests from early elementary school. The First 5 PFA Demonstration Project evaluation team will identify measures to be used, and every effort will be made to reduce the data collection burden on PFA providers. Data will be disaggregated by age, ethnicity, language, and specific disabilities and other special needs.

A chart highlighting the evaluation questions and potential data sources for First 5 PFA Projects, as approved by First 5 CCFC, is included in Attachment B.

PFA Demonstration Projects will also participate in the CDE Desired Results system, which includes the child's developmental profile, the parent survey, an environment rating scale, an annual self-assessment, the development and implementation of an annual plan for each provider consistent with Title 5 (Chapter 19, Subchapter 12, Section 18279), and participation in external review processes.

The proposed evaluation questions, as approved by First 5 CCFC in January 2005, are:
1. Are children who participate in First 5 PFA programs better prepared to be successful in Kindergarten and Early Elementary grades?
2. Are we closing the 'achievement gap' experienced by the diverse populations of California's youngest children, including those with disabilities and other special needs and English language learners?
3. Are more children receiving screening and assessments, provided appropriate services, and effectively included in First 5 PFA programs?
4. Are outreach and other efforts effectively including children already identified with disabilities and other special needs in First 5 PFA Programs?
5. Do more preschool teachers and administrators have the expertise to include and effectively support children with disabilities and other special needs, and children who are English language learners?

PSA Process Evaluation
1. Are quality criteria effectively implemented in PFA programs?
2. Which PFA strategies and services most effectively promote positive outcomes for children, particularly children from diverse cultural and linguistic backgrounds?
3. Which PFA strategies and services most effectively promote positive outcomes for children with disabilities and other special needs?
4. What are the most effective PFA outreach strategies for parents?
5. Are parents included in, and satisfied with, the PFA programs?

Linking to First 5 Policies, Projects and Initiatives

PFA is an important strategy in achieving "school readiness." The First 5 projects and initiatives provide opportunities to focus intensive efforts on particular areas and disseminate the information broadly through all First 5 efforts and statewide initiatives. PFA will continue to build on, and connect with, new and existing projects and research. The PFA applications will need to describe the First 5 connections, including:

1. **First 5 Equity Principles**: PFA Demonstration Projects will implement the four major components of the First 5 Equity Principles (inclusive governance and participation; access to services; legislative and regulatory mandates; and results-based accountability) by starting in high priority/underserved communities, by providing estimates of the number (or percentage) of children with disabilities and other special needs to be served, and by evaluating the effectiveness of preschool strategies on the achievement of children with diverse languages and cultures and children with disabilities and other special needs.

2. **School Readiness (SR) Initiative**: Ultimately, PFA will be for all children. The PFA Demonstration Projects will begin in high-priority communities served by SR Programs to provide supports for preschoolers and their families through the coordinated foundation provided by the First 5 SR Programs. The focused (but limited) First 5 resources invested in PFA and Special Needs "demonstration projects" will leverage learning about effective strategies and disseminate this information through all SR Programs statewide.
3. **Special Needs (SN) Projects:** The PFA Demonstration Projects and the recently funded SN Projects will build on the platform developed by the SR Programs. The SN Projects will build on local capacity, resources, and expertise to support in-depth learning that will be implemented in all PFA Demonstration Projects. The PFA Demonstration Projects will be required to adopt promising practices in screening, service provision, referral, follow-up, and inclusion. Also, some PFA Demonstration Projects may include SN Projects.
4. **Comprehensive Approaches to Raising Educational Standards (CARES):** The development of an educated early care and education (ECE) workforce that receives equitable compensation is critically important to the quality of preschools. Based on evaluation findings from the pilot phase, continuation of the project was approved by the State Commission with an additional investment of up to $30M for July 2005 through January 2009 with several program modifications. First 5 is working with the California Department of Education (CDE) and the AB 212 guidelines, as well as promoting collaboration with other agencies, colleges, and universities.

Preschool Facilities: The need for preschool facilities is a well-known challenge to the expansion of preschool programs. The PFA Demonstration Projects will work with local partners to maximize the use of existing facilities. Also, First 5 CCFC is providing $3M over three years to Constructing Connections of the ABCD/Packard Partnership to expand and improve ECE facilities through technical assistance and local capacity building. The PFA Demonstration Projects will be a high priority for ABCD resources and technical assistance. It will be important to continue incentives (e.g., matching funds), support for legislation and related bond measures, and technical assistance on participation in local investment opportunities

Evaluation Questions and Potential Data Sources for First 5 PFA Projects Draft 6/24/04
From PFA "Expanded Criteria", Preschool For All Demonstration Projects will participate in statewide evaluation processes, use PEDS (or First 5 CCFC approved system that links directly to PEDS) for data collection, and demonstrate benefits to young children that are measurable across the 5 domains (NEGP) of children's learning and development through the early elementary grades. Results will include:

- An increase in high quality preschool services available to all 4 year olds;
- Demonstrated developmental progress for participating 4 year olds;
- Improved school readiness success indicators (K measures); and
- School success continuing through 3rd grade.

First 5 PFA Demonstration Project Overview- October 2005

PFA OUTCOME Evaluation Questions	Child and Family Outcomes – Potential Data Sources	Process Outcomes – Potential Data Sources
1. Are children who participate in First 5 PFA programs better prepared to be successful in: a. Kindergarten? b. Early elementary grades? * *also SR, SN*	* Early identification on Desired Results and/or health assessments * KEP results or K assessments * Standardized test scores (2^{nd} and/ or 3^{rd} grade) disaggregated by language, ethnicity, and disabilities/special needs * Decreased Special Education referrals and placements * Retention rates * Participant level data	* # Quality preschool spaces * Use of new PreK Early Learning Standards and PreK Curriculum Guide (when available); alignment with K-3 standards * Screening process implemented * Use of transition activities and ongoing support services using research-based practices adapted for children of various cultures, languages, and with disabilities, other special needs
2. Are we closing the 'achievement gap' experienced by the diverse populations of California's youngest children, including those with disabilities and other special needs and English language learners in: a. Kindergarten? b. Early elementary grades? * *also SR, SN*	* Early identification on Desired Results assessments * KEP results or K assessments * Standardized test scores (2^{nd} and 3^{rd} grade) disaggregated by language, ethnicity, and disabilities/special needs * Decreased Special Education referrals and placements * Retention rates * Participant level data	* # Quality preschool spaces * Use of new PreK Early Learning Standards and PreK Curriculum Guide (when available); alignment with K-3 standards * Screening process implemented * Use of transition activities and research-based practices adapted for children of various cultures, languages, and with disabilities, other special needs
3. Are more children receiving screening and assessments, provided appropriate services, and effectively included in First 5 PFA programs? * *also SN*	* # of children with special needs in preschool * # of children with disabilities and other special needs receiving services (medical, social, behavioral, education) * Parent involvement in development of IEP or IFSP process	* # of screenings and assessments (also % of PreK population) * # health and ECE providers and others serving children with disabilities; # trained * # and type of program adaptations
4.Are quality criteria effectively implemented in PFA programs?		* Free, voluntary for equivalent of 3hrs/day x 175 days * BA teachers with certification; plus AA teacher * 20:2 ratio or better * Documented professional development (dual language, cultural training, disabilities/special needs) * ECERS score of 5+ * Meet licensing standards * Progress to quality criteria * Child Nutrition Program * CDE/CDD 'Desired Results System for Children and Families" approval *Implement Equity Principles *Connect to SR & other First 5 Programs; MOUs

First 5 PFA Demonstration Project Overview- October 2005

PFA OUTCOME Evaluation Questions	Child and Family Outcomes – Potential Data Sources	Process Outcomes – Potential Data Sources
5. Which PFA strategies most effectively promote positive outcomes for: all children, children from diverse cultural and linguistic backgrounds, and children with disabilities and other special needs?	Analyzing PFA strategies by: * Demonstrated progress on Desired Results assessments * KEP results or K assessments * Standardized test scores (2^{nd} and 3^{rd} grade) disaggregated by language, ethnicity, and disabilities & other special needs * Decreased Special Education referrals and placements * Retention rates	* Use of new PreK Early Learning Standards; alignment with K-3 standards * Use of PreK Guidelines and PreK Curriculum Guide (when available); * Use of research-based practices adapted for children of various cultures, languages, and with disabilities, other special needs
6. Are parents satisfied with the PFA programs?	* Increased awareness of the importance of SR developmental milestones and domains * Demand for preschool (e.g., waiting lists, PreK participation) * Parent surveys (DR, KEP)	* Parenting information * Parent advisory groups

Report to the First 5 California State Commission

Statewide Evaluation Framework
Final Draft

Submitted by
The First 5 Evaluation Framework Workgroup

Prepared by
Government Finance Officers Association
and Altmayer Consulting, Inc.

JULY 11, 2005

Table of Contents

EXECUTIVE SUMMARY

The California Children and Families Act of 1998 created a statewide program to support, promote, and improve the early development of children from the prenatal stage to five years of age. The Act also created the California Children and Families Commission and established that it and county commissions would administer the resulting early child development efforts. Early in the development and implementation process, the state and counties worked together to create an evaluation framework early in the initiative. Since that time, the First 5 initiative has matured and the number and complexity of state and local programs and strategies have increased and the current framework correspondingly needs to be revised to accommodate changes to the First 5 initiative.

Consequently, the State Commission and the First 5 Association sponsored an effort to revise the existing framework. They jointly created an Evaluation Framework Workgroup, charged with developing an updated framework that could meet the evolving reporting and evaluation needs of both the State Commission and county commissions. The workgroup included representatives of county commissions and state commission staff. Throughout the process there was strong collaboration between state and local workgroup members. The group developed its recommendations through consensus. The group's approach and the resulting framework are outlined in this Executive Summary and described in detail in subsequent sections of this report.

The recommended framework builds on the lessons learned from the existing framework to improve the approach in several key ways:

- Address stakeholder questions – The evaluation approach must be dynamic and responsive to the decision-making needs of State Commissioners, legislators, county commissioners, while continuing to demonstrate the value of First 5's early intervention investments to the general public. The recommended framework identifies the "top questions" that all stakeholders want to know and specifies a method for answering these questions as well as more in-depth questions about the return on investment and the impact on children and families intensively served by First 5 programs. Illustration 1.1 below lists these "top questions."

Illustration 1.1

What First 5 stakeholders want to know

- Who and how many are served?
- How much is being spent?
- On what? Who is providing services?
- Is First 5 efficient?
- What results are being achieved

- Simplify and standardize data reporting to address data consistency and validity - The proposed approach retains some elements of the existing framework and focuses on simplifying and standardizing them. It eliminates components the Workgroup concluded were not providing sufficient information on results and adds components the Workgroup believes will provide better information. The recommended approach is focused on ensuring the quality and credibility of data collected which is in part supported by reducing the quantity of data attempted to be collected. For example, the revised framework eliminates the requirement that all School Readiness programs collect client-specific data on all participants because of concerns about data consistency and validity and specifies alternative methods for evaluating School Readiness results that address data consistency and validity.

- Define clear roles for State and counties and reinforcing the partnership necessary for success - The recommended framework enhances the current process by requiring local commissions to conduct evaluation studies and provide the results of such studies to the State Commission. It also significantly enhances the State Commission's capacity to conduct focused research and evaluation by creating a "Center for Results" at the state level.

- Create a system, process and resources for ongoing evaluation and research - A critical element of the proposed framework is the dedication of resources for the development and implementation of a research and evaluation agenda. The framework recommends that the existing State research and evaluation team evolve into a more formalized structure for managing, analyzing an communicating the results from First 5 investments statewide. The term "Center for Results" refers to both the resources that will be dedicated to carryout the State's research and evaluation agenda as well as the decision-making process that will guide this effort. The purpose of the Center will be to provide better information on the impact of the First 5 initiative through independent research, such as return on investment studies, statewide longitudinal studies and case studies of selected programs and initiatives. The Center would also be charged with reviewing and analyzing the results of local programs and initiatives in order to assess statewide impact. The center will serve as the resource center collecting information from other efforts nationally to identify effective approaches relevant to the First 5 environment.

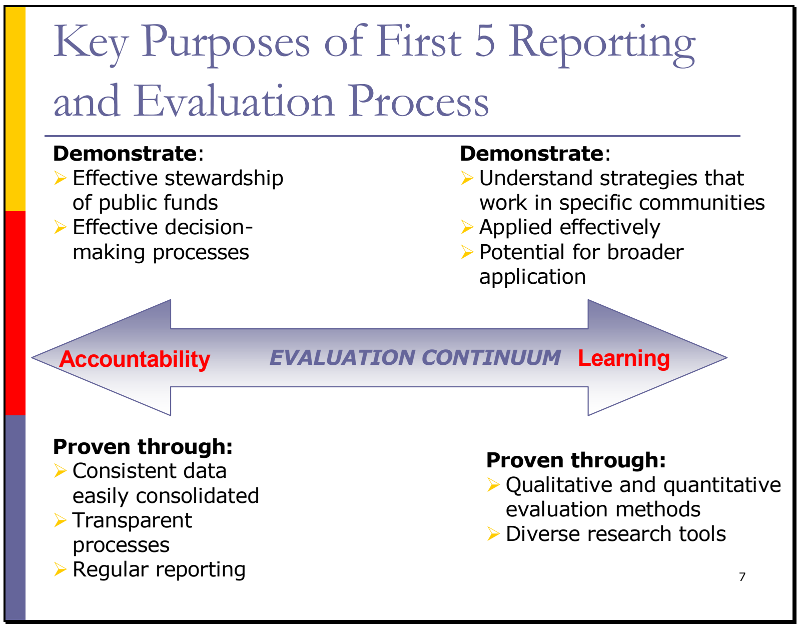
Process and Approach to Building the Revised Framework

The First 5 initiative encompasses four program categories: state programs funded 100 percent by the state, the school readiness program, which is jointly funded by the state and county commissions, county programs that are funded 100 percent by individual counties, and other programs that are jointly funded. The revised framework focuses on two of these categories: 1) 100 percent county-funded programs and 2) the jointly-funded school readiness initiative.

The workgroup began by reviewing the existing framework and related information and the results of interviews with stakeholders. It invited a panel of distinguished evaluation researchers to present information on best practices in evaluating large scale, complex initiatives such as

First 5 and to discuss the challenges associated with such evaluation efforts. Based on this information, the workgroup concluded that a revised framework needed to achieve two major purposes: 1) to provide accountability information to all stakeholders that would let them know that the procedural requirements of the Children and Families Act are being met, that funds are being managed appropriately, and that results are being achieved; and 2) to provide information for use in learning effective approaches to improve outcomes for children and to continuously increase the effectiveness of programs and strategies. The framework was then designed to serve those purposes. Illustration 1.2 below presents the logic of this approach:

Illustration 1.2



Based on their review, and particularly on the advice provided by the panel of national evaluators, the workgroup concluded that a single approach to evaluation was neither attainable nor appropriate. The multiplicity of stakeholders and their diverse information needs, combined with the diversity of programs and approaches comprising the First 5 initiative, requires a framework that incorporates multiple approaches to evaluation and reporting.

Recommended Framework Description

Two critically important criteria for assuring that the revised evaluation framework will be successful are 1) its ability to answer stakeholders' key questions (for example, about First 5's services, clients, return on investment, and results achieved), and 2) its ability to meet the requirements specified in First 5 enabling legislation. Three levels of data will be collected, evaluated and reported on in order to provide answers to different categories of questions. These levels include: 1) descriptive data; 2) outcome data; and 3) data produced through applied social research methods. Illustration 1.3 below shows these levels and how data from each level will be collected, reported and used to evaluate and report on 100% county-funded programs and jointly-funded school readiness programs.

Illustration 1-2

Three Levels of Information for Research and Evaluation		
	100% County-Funded	**School Readiness**
Level 1: Descriptive Data. Provides standardized and consistent information and formats statewide for Annual Report.	Standard reporting of programs funded, answering questions regarding • Who is being served? • How many are served? by whom? • For what purpose and how much is being spent?	Standard reporting by funded application, answering questions regarding • Who is being served? • How many are served? By whom? • For what purpose and how much is being spent?
Level 2: Outcome Data. Provides county-specific information for Annual Report and for use in targeted state evaluation studies on statewide impact and results.	Counties report local evaluation results to the State. To be used to show results of individual county efforts and as a resource for level 3 research on results statewide. Will answer questions about results in individual counties.	Counties report aggregated data from menu of standard outcomes and indicators. To be used to provide consistent results information over multiple funded applications. Will answer questions about results from individual programs and for Level 3 research and evaluation work.
Level 3: Experimental and Comparison Evaluations. Provides information for purposes of accountability, improving results, evaluating statewide impact, policy making, future strategies.	Center for Results develops and carries out research agenda and selects county programs for evaluation/review. Conduct research and evaluation efforts to: (1) evaluate impact of specific initiatives and program executed within or across counties; (2) evaluate the overall impact and return on investment of First 5 through enhanced community capacity and intensive longitudinal studies.	Center for Results develops and carries out research agenda and selects county programs for evaluation/review. Conduct research and evaluation efforts to: (1) evaluate impact of specific initiatives and program executed within or across counties; (2) evaluate the overall impact and return on investment of First 5 through enhanced community capacity and intensive longitudinal studies.

The key questions the framework is intended to answer, and how data will be collected, analyzed and reported on are discussed below:

1. ***Who is being served, how many are served, by whom, for what purpose and how much is being spent?*** These questions will be answered with level 1 data. For 100% local programs, local commissions would submit standardized descriptive and demographic information through the annual reporting process. This would include a demographic

profile of the children and families served by First 5 and the providers with whom First 5 commissions contract. For school readiness, all funded applications would be required to submit this standard aggregated descriptive information.

2. ***What is the local impact of the services on children and families served?*** This question can be answered primarily with level 2 data. County commissions would be responsible for reporting local evaluation results to the state for inclusion in the annual report. Additionally, counties would be required to conduct local evaluation studies and to provide selected studies to the state to support statewide learning about the impact of various programs and strategies. An increased local reporting effort would be required for programs funded through the State School Readiness initiative at this level. Local funded applications would be required to report aggregate data related to their specific school readiness plans. The data to be reported would be selected from a "menu" of outcomes and indicators. The outcomes and indicators to be reported would be agreed upon during the state commission's funding approval process.

3. ***What is the impact statewide of locally funded programs: what is the return on the First 5 investment; what have been the results over the long term; and what can we learn that can be used to improve results?*** These kinds of questions can be answered using level 3 information developed by the proposed Center for Results. It would review county evaluation results and results from other sources, conduct its own targeted research and compile and analyze county evaluation results in order to provide information for accountability purposes and for improving results. The center will develop a research agenda containing a variety of focused research projects to provide richer insights into services and results. Approaches will vary but are likely to include: identification of broad trends through longitudinal studies; studies that use statistical sampling to identify similar outcomes from a variety of approaches; case studies/applied research on selected programs or multiple programs; focused research on results achieved from similar strategies implemented in various areas of the state; and intensive program reviews that include extensive data collection conducted cooperatively by the state and local commissions or school readiness funded applications. Examples of how these tasks may be accomplished are provided in Section Six.

The recommended framework improves on the current process in several ways. First, it increases accountability by establishing a workable approach and format for local reporting of demographic, funding, and provider information. Second, the framework is designed to mitigate concerns about the validity and consistency of data as it is currently collected within hundreds of funded programs in the 58 counties. It incorporates evaluation results from the local level, which will provide richer information on the results of local programs and allow practitioners to improve their programs and strategies. Finally, the framework increases the State Commission's ability to answer key questions related to First 5 efforts and enhances its capacity to conduct focused research and interpret results through the previously described Results Center.

Local commission staff have provided input at various stages throughout this process. Progress reports on the proposed framework have periodically been presented to local commission staff at state association meetings. Most recently the complete recommended framework was presented at the State First 5 annual conference, where it was enthusiastically received. Workgroup members have also presented the proposed framework to community stakeholders and other local commissions in their respective regions.

Implementation

If approved, the recommended framework would be implemented in FY 06-07, beginning July 1, 2006. FY 05-06 will be the transition year. While the framework's structure will be implemented in 06-07, some elements may not be fully implemented until FY 07-08. The final section of this report presents implementation issues and a preliminary approach to implementation.

The workgroup strongly recommends that the State Commission reconstitute the workgroup as an implementation steering group to capitalize on the strong collaborative effort that has developed between the local and state commission members of the workgroup. Key tasks will be to plan and monitor the transition and implementation, establish transition guidelines, provide advice and guidance in the selection of a contractor for state evaluation, assure that support and technical assistance are provided to counties to enable them to conduct high quality evaluations, establish reporting processes and formats, work with state staff to modify the State School Readiness application process, address concerns about how best to leverage current investments in technology, and assure that employees, local commissioners, commission staff, the legislature, and other key stakeholders are kept informed and involved during the transition and implementation process.

SECTION ONE: INTRODUCTION

The California Children and Families Act of 1998 established a large-scale, comprehensive approach to addressing the health, sustainability, and school readiness of the state's children and families. The Act, as codified in California statute, establishes the powers and duties of the state commission that include, "Providing for independent research, including evaluation of any relevant programs, to identify the best standards and practices for optimal early childhood development, and establishing and monitoring demonstration projects."

1. Project Objectives

The overarching objective of this project was to develop a revised evaluation framework that would fulfill the information and reporting needs of both the state and local commissions and of other First 5 stakeholders. Procedurally, an important objective of the project was to ensure that the group's output was responsive to external feedback, including the specific recommendations of an audit of First 5 conducted by the California Bureau of State Audit in 2004.

2. Purpose of the Evaluation Workgroup

The purpose of the Evaluation Workgroup was to assess the existing evaluation framework, identify impediments to data collection and evaluation, and then collaborate to develop a revision simultaneously able to address state commission assessment needs and support the array of local commission programs and services. Members included state commission staff and local commission executive staff selected by the First 5 Association of California's Executive Committee (Appendix 1 contains a roster of members). The Government Finance Officers Association (GFOA) and Altmayer Consulting, Inc. were retained to assist the workgroup.

3. Workgroup Process and Approach

The group drew on a variety of resources for information throughout the process. An in-depth review of the current framework, interviews with participants and stakeholders, and consultation with local program and evaluation staff, executive directors and other stakeholders at various stages provided valuable insights to the group.

Particularly valuable information and advice came from a panel of performance evaluation researchers the group invited to present their experience in large-scale and diverse efforts such as the First 5 initiative.

Following this research and review, the group developed a conceptual framework. Concepts were then "tested" against critical success factors developed by the group, as discussed below, and a subgroup reviewed the concepts with service providers, local program and evaluation managers and executive directors.

Finally the workgroup specified how each component of the framework would work, identified key implementation issues and developed a preliminary implementation plan.

4. Current State of the Initiative

The proposed framework was presented to local commissions at the State First 5 annual conference, where it was enthusiastically received. Workgroup members have also presented the proposed framework to community stakeholders and other local commissions in their respective regions.

5. Critical Success Factors

The workgroup developed a set of critical success factors that would serve as standards against which it could test elements of the new framework, and established a priority order for these factors. The workgroup ranked the following factors as most important:

1. The framework will measure effectiveness of investments.
2. The framework will allow us to communicate work and accomplishments to multiple constituencies effectively.
3. The data collection will be simplified and the burden of collection for the state framework reduced to meet the needs of stakeholders.
4. The framework will contain sufficient state and local data to drive decisions and program changes and to advocate support for those decisions.
5. Consensus between state and local commissions will exist on data reported to the state and outcome information that will be collected at state level.
6. The State, counties and agencies will share ownership and responsibility for the framework and understand their respective role and what is expected of them.

6. Relationship of Proposed Framework to First 5 Financial Management Project

In 2004, the California First 5 Commission and the First 5 Association of California began working with the Government Finance Officers Association (GFOA) to develop a financial management and reporting toolkit for County commissions. When complete, the toolkit will include:

- The First 5 Financial Management Guide
- Model policies and procedures
- A training curriculum in financial management
- Peer consultation and support mechanisms
- A plan for ongoing financial management technical assistance.

In implementing the recommended framework, it will be important that “accountability” information, including financial information, is reported consistently across counties. The First 5 Financial Management Guide will facilitate consistent reporting by recommending standard financial reporting formats for all First 5 commissions. The Guide is scheduled to be available to all commissions in July 2005. Appendix 2 summarizes these financial reporting guidelines.

SECTION TWO: EVALUATION ISSUES AND CHALLENGES

1. Critical Issues Related to State and Local Evaluation

To prepare for workgroup deliberations, the consulting team conducted interviews and reviewed background documents. Several critical issues were identified and discussed by the workgroup as summarized below.

- **Diverse stakeholder expectations and needs for diverse information.** First 5 is a unique age-specific approach intersecting multiple service platforms. As such, it has created a diverse and invested group of stakeholders ranging from state legislators, to local elected officials, to representatives of community based organizations, activists, and researchers. The breadth of these interests creates diverse demands for evaluating the success of First 5 investments. For example some stakeholders want to know the number of people served and their demographic information. Others seek overall, state-wide results, essentially seeking an answer to the question: "What has changed in the condition of children from birth to age 5 that can be attributed to First 5 investments?" Still others want to know what outputs and outcomes have resulted from the operation of specific programs.

- **Disparate approaches to measurement and evaluation**. Local commissions and the State Commission developed their evaluation approaches in parallel but separately. As a result, the approaches to evaluation vary greatly, both among local commissions and between local commissions and the state. The same holds true for the diverse capacities of counties to conduct evaluations.

- **Lack of definitional clarity**. Many of the terms used in evaluation discussions are subject to various interpretations and meanings. The number and diversity of stakeholders complicates the issue. Consider, for example, the term, "result." For some, the word refers to services provided, while others interpret it to mean the impact on the children and families served. Definitional issues will continue to be a challenge for implementation.

- **Roles and responsibilities**. The lack of clarity, both internally and externally, regarding the role of state and local commissions in evaluation is further complicated by varying interpretations of First 5 legislation. Key questions the workgroup addressed included:

    - What the State's responsibility is for evaluating locally funded programs.

    - What the responsibility is at the local level for evaluating locally-funded programs.

    - How these responsibilities differ and how they may overlap.

- **Volume and consistency in data collection**. Interviews with commission representatives indicated that the sheer volume of required data collection and associated problems with accuracy are issues related to the existing evaluation framework. Typical data entry accuracy problems appear to be compounded by definitional questions. Interviewees noted that the state and local commissions' terminology are not consistent. Finally, a lack of understanding of how data was going to be used or the benefits accruing at either the state or local level has contributed to the lack of support for and participation in data collection efforts.

- **Accurately measuring what First 5 is doing.** It has been noted that First 5 investments often serve a diverse client base ranging from increasing community provider capacity to directly serving children. The evaluation framework should provide means to effectively capture the results of both the commissions' direct service provision and increasing the service capacity of community providers by considering a diverse set of evaluation tools including community based indicators, case studies, in-depth research investigations, and other approaches as appropriate.

- **Complexity.** Complexity is a side effect of the issues cited above. Given that First 5 investments are often interwoven with other community resources, it is difficult to isolate First 5 impact. Complexity also presents challenges to interpreting and evaluating results and effectively communicating those results to the public, the media, and other stakeholder groups.

- **Need to create a learning environment.** Many of the other issues discussed in this section have inhibited the creation of a learning environment in which successes and challenges are built upon to continuously improve processes, products and results. There is a need to build a culture of joint success that recognizes, values and appreciates mutual dependency.

2. External Pressures and Challenges

In addition to systemic challenges associated with evaluation, local and state commissions are operating in an environment of increased legislative and public scrutiny. External pressures and challenges can be attributed to:

- **Urgency to provide information on the return citizens are getting for the First 5 investment.** This issue is a strategic concern at both the state and local levels. First 5 agencies are clearly under intense scrutiny, and commissions and staffs are being pressed to justify the resources that go to the initiative. Several interviewees brought this up but many interviewees also cautioned, citing the speed with which the original framework was developed, that the workgroup needs to move forward quickly, but with due deliberation.

- **Local commissions' strong support for maintaining a high degree of autonomy to focus on local needs.** An important manifestation of this support is the need to clarify early in the process to what extent local efforts will, should, or can be evaluated within a state framework. Also requiring early clarification are the resulting implications for technical considerations, such as data collection, responsiveness to stakeholders and complexity of the system.

The increased public attention is, to some degree, natural as commissions evolve from being startup organizations to more stable and recognizable public agencies. It is also a byproduct of limitations of the current reporting structure's ability to effectively communicate the services provided to children and families and the results being achieved. Concurrent to the workgroup effort, proposals are being considered by the Legislature to modify the original legislative language and clarify reporting and evaluation requirements.

3. Stakeholder Questions

In section 1, "Critical Issues," we identified challenges posed by the diversity of First 5 stakeholders and their varied information requirements. To assist in the construction of a framework responsive to these stakeholders and their concerns, the workgroup focused much effort on these interested entities and the questions they want answered.

Who are the First 5 Stakeholders?

The workgroup identified an extensive list of stakeholders within the following groupings (note, stakeholders presented within each grouping are examples and are not intended to be a complete listing):

- Customers – Direct or indirect recipients of our services (children and families, caregivers, provider groups)
- Vested Partners – Groups and individuals who are very involved, have a direct, vested interest in First 5 (child development advocates, staff, grantees, schools, service providers, association)
- Interested Parties – Groups and individuals who are concerned with First 5 but not directly involved (tobacco buyers, funding sources including foundations, national associations, state departments)
- Direct Watchers – Groups and individuals who exercise direct control or influence on First 5 resources and decisions (Governor, Legislators, State Commission, local Commissions, County Boards of Supervisors)
- Indirect Watchers – Groups and individuals who have indirect control over dollars and who exercise significant influence (other elected officials, media, tobacco industry, voters).

What Questions Do Stakeholders Want Answered?

The workgroup identified fundamental questions common to all stakeholders, as shown below. Beyond these basic questions are many others, resulting from the various perspectives held by stakeholders.

What First 5 stakeholders want to know

- Who and how many are served?
- How much is being spent?
- On what? Who is providing services?
- Is First 5 efficient?
- What results are being achieved?

SECTION THREE: PROPOSED APPROACH

1. Independent Evaluator Input and Recommendations

A critical factor in developing the recommended approach was the input of a panel of nationally recognized experts who provided insights on conducting large-scale evaluation efforts. Four individuals comprised the panel:

- Ross F. Conner, Ph.D., University of California at Irvine
- John Love, Ph.D., Senior Fellow, Mathematica Policy Institute, Princeton, NJ
- Ross A. Thompson, Ph.D., University of California at Davis
- Margaret A. O'Brien-Strain - Director, Social Policy, SPHERE Institute, Burlingame, CA

The panel attended the February 8, 2005 meeting of the Evaluation Workgroup. Each panelist made a brief presentation, then all participated in a question-and-answer session. Panelists were asked to address the following topics:

- Perspectives on large-scale evaluation and data-reporting efforts. Risks and benefits associated with large-scale client-based data collection efforts.
- Relative benefits and drawbacks of using population-level data and client-level data to evaluate the success of large-scale efforts and the role, if any that population-level measures have in such efforts.
- Valid indicators of school readiness and what data should be collected to develop such indicators.
- Ways to address the cost-benefit question on a large-scale effort like First 5 and valid methods for identifying return on investment, especially in light of the challenge of addressing issues of contribution versus attribution.

The input summarized below indicates that many of the conditions critical to effective large-scale evaluations are not present within the First 5 environment.

- Large-scale evaluation efforts, which typically have multiple programs and are geographically dispersed work best when certain conditions exist:
  - Programs are specific, well defined and consistently implemented.
  - Measures are well defined and consistently implemented. Also important is to focus closely on indicators, because although they are related to outcomes, they are not perfect reflections of outcomes.
  - Program staff and clients support the program and the goals of the evaluation. Program staff buy-in is critical to the effective collection of evaluation data.

- Evaluation efforts produce useful and optimal outcomes when these conditions are met:
  - Programs are comparable
  - Efforts are longitudinal, that is, the same data are collected at several points over time, outcomes are well defined, and data are uniformly collected across sites.
  - Studies are compared in some way, either varieties of the program or using multiple objectives.

- There are significant barriers to effective large-scale evaluations:

  - Programs with many goals.
  - Programs that are small and serve many clients.
  - Programs that are funded by multiple funding sources.
  - Programs without easily observable outcomes.
  - The impossibility of imposing the "ideal" model of research due to the number of environmental variables and real-world difficulties in data collection and comparison.

- It is extremely challenging to prove attribution versus contribution in social programs because of the many uncontrollable variables. A true cost/benefit study is virtually impossible due to difficulties in collection and comparison.

- It is important to differentiate between evaluation for "learning", i.e., understanding successful strategies, versus evaluation for "accountability", i.e., demonstrate that funded strategies had an impact. This may require separate evaluation approaches. Possible ways to address accountability concerns:

  - Present basic information on resource expenditure, use of services, and/or number of children involved.
  - Highlight model programs and efforts and use individual stories. Collecting stories will lead to information sharing and greater buy-in.
  - Begin with a logical framework and present a theory of change or logic model.

2. Purposes of Evaluation

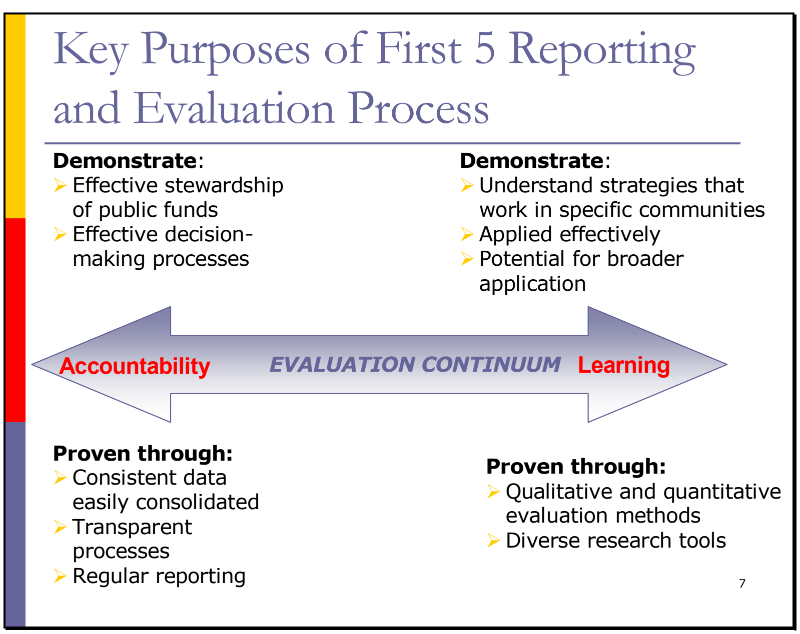
One of the critical lessons learned from the discussion with the national experts was the need to to be clear about the intended purposes of evaluation and then to build the evaluation framework around those purposes. The workgroup recommends that the First 5 Evaluation Framework be built to address two essential purposes:

- Accountability – Provide standard indicators of the extent to which First 5 commissions are effectively meeting their mandate. They can do this by demonstrating that they are:
  - Effective stewards of public funds
  - Utilizing effective and transparent decision-making processes
  - Presenting clear reporting on the services provided in an accessible and understandable format.

- Learning – Improve programs and contribute to the field of early childhood development by providing indicators of the extent to which First 5 Commissions are developing, evaluating and employing strategies to positively enhance the lives of young children and their families. They can do this by demonstrating that they:
  - Identify new strategies that work (emerging practice)
  - Understand in what situations (specific communities) those strategies can and should be employed
  - Apply proven, effective strategies (best practice)

Illustration 3.1 below summarizes the evaluation continuum between accountability and learning and demonstrates that these purposes are not mutually exclusive.

Illustration 3.1



The workgroup recommends that regardless of the level, program or initiative being evaluated, the evaluation approach must be able to consistently and clearly answer the following four questions:

1. What conditions are First 5 Commissions working to address?
2. How are they being addressed?
   - Who and how many are receiving services?
   - What services are being funded?
   - Who is providing those services?
3. What results are they achieving?
4. How can state and local commissions learn from local County experiences, results and share statewide?

Accountability

Learning

Questions 1-3 can be considered accountability questions and questions 3 and four learning questions. Question 3, concerning results achieved, must be addressed both for accountability and learning purposes . In reality these questions are not easily separable; however they provide two dimensions for presenting and understanding the impact of the First 5 initiative.

3. Focus of Evaluation Workgroup Recommendations

The First 5 initiative encompasses four program categories: state programs funded 100 percent by the state; the school readiness initiative, which is jointly funded by the state and county commissions; county commission initiatives, which are funded 100 percent by individual counties; and other jointly funded initiatives. The revised framework focuses on two of these categories: 1) 100% county-funded programs and 2) the jointly funded school readiness initiative.

The workgroup used the two purposes of evaluation described above to develop evaluation components for 100% county-funded programs and to the school readiness initiative to create the statewide evaluation framework. The framework is detailed in the following two sections.

SECTION FOUR: LOCAL COMMISSION PROJECT EVALUATION

This section outlines the proposed framework for locally funded projects, (i.e. programs and projects funded by each County's allocated share of First 5 revenue or from other locally generated revenue). There are three proposed components to the framework for local commission funded programs:

1. County Commission Responsibility for Local Evaluation

Local commissions are recommended to be the primary point of evaluation for locally funded projects. While many local commissions have already developed an extensive approach to local evaluation, this recommendation would make local commissions responsible for conducting their own evaluation efforts. (However, the state, through the Center for Results component, would also be involved in evaluating some local programs, using approaches such as sampling, targeted research and meta-analysis. Unlike local commissions' evaluation efforts, the state role would be to look at overall impacts.)

This recommendation also clarifies ambiguity in the current legislation that requires the State Commission to:

> …define the results to be achieved by adopted guidelines and collecting and analyzing data to measure progress toward attaining these results. (Health and Safety Code Section 130125 c.)
>
> as well as requires each county commission to:
>
> …conduct an audit of and issue a written report on the implementation and performance of, its functions during the preceding fiscal year, including at a minimum, the manner in which funds were expended, the program toward and the achievement of program goals and objectives and the measurement of specific outcomes through appropriate and reliable indicators. (Health and Safety Code Section 130150 c.)

Many of the critical issues identified earlier, such as duplicative effort and confusion over roles and responsibilities, arose as state and local commissions sought to implement each respective provision of the First 5 legislation, etc.

The workgroup recommends that local commissions serve as the primary evaluators of locally funded programs, based upon the following conclusions:

- ❑ Local commissions are directly linked to the funding decisions and are most apt to build an evaluation system that will support funding allocations and decision-making, an important purpose of evaluation.
- ❑ Local commissions are closer to the programs funded so they can evaluate both reported results and methods of service delivery.
- ❑ Evaluation must be based on program design. Local commissions are better positioned to develop tailored evaluations appropriate to program design. Local commissions are increasingly interweaving First 5 funding into existing community resources, such as providing health services within existing pre-school programs. In addition, local commissions are leveraging First 5 funding to expand the full complement of available services for families. These approaches make program and evaluation design additionally complex. Evaluating these types of efforts requires developing and monitoring a unique set of indicators and a complex evaluation.
- ❑ Statewide evaluation by definition requires reliance on some standard set of indicators. Applying a standard set of indicators results in some programs collecting data on measures not relevant to the program's intent and is likely to impact the validity of results because data may not consistently collected.

In sum, the lessons learned over the past five years and the input of national experts led the workgroup to the conclusion that local program evaluation is the appropriate responsibility of local commissions for both practical and decision-making purposes. While many local commissions are well positioned to execute this responsibility and have already developed extensive local evaluation plans and programs, the workgroup recognized that other commissions would require further technical assistance and support.

As part of this proposed framework, local commissions will be required to submit evaluation studies to the state in order to support statewide evaluation efforts and are expected to be responsive to any inquiries from the State regarding evaluation efforts and/or program results. It is also assumed that the State will develop a format for the inclusion of local evaluation results in the annual report.

Sharing local evaluation results would facilitate a statewide learning process and identify successful models that merit further investment by either the State Commission or local commissions. The workgroup recommends that the State adopt criteria to guide local commissions to determine which evaluation reports merit statewide distribution. Criteria may include:

- Evaluation reports that address the results of multiple programs within a specific initiative or platform of services
- Programs that contain innovative strategies or specific results with high potential for statewide learning, due to the subject matter or findings
- Reports that identify interventions that may be very effective or ineffective in working with specific populations.

2. Standard and Consistent Reporting for Accountability

While the workgroup recommends that local commissions be responsible for evaluation of local programs to meet the needs of the diverse stakeholders, the workgroup also recommends use of a single standard and consistent reporting format by commissions to provide a consistent statewide picture of:

- ❑ What services are being funded
- ❑ Who and how many are receiving services?
- ❑ Who is providing these services?

The workgroup has developed a sample data reporting worksheet to demonstrate the type of information that would be submitted by each commission on programs and services funded by fiscal year (see Appendix 4). The proposed process for reporting would serve as the basis for the local commission profile portion of the state annual report and replace existing annual report requirements.

As part of the framework, each local commission would need to map funded services and programs to the standard reporting format. The expectation is that the majority of this effort will be be done by local commissions, not by providers, many of whom are already required to provide data regarding service recipients in support of existing local evaluation efforts. However, mapping by the local commissions should not be done in isolation. This is particularly important in the context of transferring data electronically. The state evaluator will need to work with county commissions in the mapping process. Each of the elements is described below.

- ***What services are being funded?***

Each local commission will map the programs and services funded to one of the four Desired Results: Improved Family Functioning, Improved Child Development, Improved Health or Improved Systems of Care. Within each of these result areas, service categories will also be identified (see Illustration 4.2 below). Each commission must identify the services it supported each year by the result area/service category and provide the total amount funded.

Illustration4. 2: Proposed Reporting Structure

Result Area 1: Improved Family Functioning (Family Support, Education and Services)
Services: Community Resource and Referral
Parent Education Programs
Distribution of Kit for New Parents
Behavioral and Mental Health Assessment or Services
Provision of Basic Family Needs (Food, Clothes, Housing)
Other Family Support Services

Result Area 2: Improved Child Development (Child Development Services)
Early Education Programs for Children
Developmental Screening and Assessments
Family Literacy Programs
Early Education Provider Programs (including CARES)
Early Education Subsidies or Vouchers
Kindergarten Transition Services
Other Child Development Programs

Result Area 3: Improved Health (Health Education and Services)
Health Insurance Enrollment and Assistance
Tobacco Cessation Education and Treatment
Nutrition Education and Assessments
Safety Education and Injury/Violence Prevention
Primary Care Services (Immunizations, Well Child Checkups)
Acute or Specialty Care Services
Oral Health
Breast Feeding Assistance

Result Area 4: Improved Systems of Care
Service Planning and Coordination
Evaluation
Technical Assistance to Agencies
Capacity Building
Systems Change Planning and Coordination

Proposed service categories were based on a review of most recent State Annual Report. As part of implementation each result area and service category will need to be clearly defined and examples provided.

- ***Who is receiving these services?***

Each County Commission will be responsible for providing a summary of the total number of children, parents/caregivers, and providers served for each result area/service category in which it expended funds in the fiscal year. Expended funds would include all funds expended or accrued by the agency during the fiscal year consistent with Generally Accepted Accounting Practices.

Information regarding children served will be reported by age, ethnic background and language spoken in the home.

- ***Who is providing these services?***

Similar to reporting of children served, commissions would be required to provide a summary of who provided the services for each result area/service category in which funds were expended in the reporting fiscal year. County commissions would report total dollars expended, according to categories decided on in conjunction with the State's evaluation contractor. Although final decisions on categories will be made during implementation, the workgroup recommends that dollars be reported by result area, service category and type of agency contracted to provide the services. The proposed service provider categories are:

- Elementary Schools/Elementary School Districts
- Community Based Agencies
- County Government Agency
- Other Government Agency
- Private Agencies/Institutions
- First 5 Commission

As part of the proposed framework, local commissions will report based on which providers were contracted to provide the identified service. For example, if a Commission contracts with multiple agencies under a collaborative agreement then the funding would be distributed by the various types of contracted entities. However, if a commission contracts with a primary agency, such as school district, and cannot report the subcontracts with other agencies to provide support services, then the total value of the contract would be reported under the school district category.

The workgroup identified several implementation issues specific to the standard reporting structure:

- Technology - The state would provide a user-friendly technology solution for local commissions to enter and report all required service category program information.
- Definitions - Each of the components of the reporting structure would be clearly defined. Examples would be provided to guide local Commissions regarding what services belong in each reporting category.
- Training - Local commissions would receivetraining to understand how to collect, sort and report the standard information.
- Duplicated/Unduplicated Counts - The proposed approach recognizes that the data may not be unduplicated counts of children and families served at a County level. Each program, however, should provide, where feasible, unduplicated counts of children served. To the degree possible, commissions should also provide unduplicated counts.

3. Statewide Review of Results and Summary Reporting of Trends, Policy Issues and Research Questions Utilizing an Evaluation Team

The final component of the proposed approach is a "Center for Results" at the state level. The primary purpose of the center would be to conduct statewide research and evaluation on the results, broadly defined, of the First 5 initiative statewide. It would review and analyze local evaluation reports, annual report data, and other data sources to present policy recommendations for broad consideration. The team would also propose to the State Commission and then carry out a statewide research and evaluation agenda. The Evaluation Workgroup recommends that the center's staff and a steering committee made up of state and local representatives be established by the State Commission. The Center, while created and overseen by the State Commission, would work in partnership with local commissions to identify and communicate results. See Section Six of this report for a complete discussion of the roles and functions of the Center for Results.

SECTION FIVE: SCHOOL READINESS PROJECT EVALUATION

This section describes the approach proposed for all State-funded school readiness programs, and includes all services funded by State and local funds. The school readiness portion of the recommended evaluation framework is based on the concept of the accountability to learning continuum. Modifications to elements of the current framework address issues identified in the interview and data collection process, advice from experts, and the experience of committee members themselves. These issues include:

- The collection and reporting of individual participant data has been a serious concern due to the significant resource commitment required, the resulting cost of collecting and compiling the data, concerns about consistency and reliability, and, finally, some participants' unwillingness to provide information.
- The difficulty of using a standard set of data to capture the richness and diversity of program activities and results and the resulting inability to share such results throughout the state, both for accountability and learning purposes.
- Currently local evaluation efforts are not formally linked to the State Commission's evaluation process, resulting in missed opportunities to apply lessons learned from other communities.

The recommended framework addresses these issues by using multiple reporting and evaluation approaches to help stakeholders understand the services provided and the results achieved. The workgroup recommends that reporting be tailored to individual program designs so that a more complete statewide picture of School Readiness results can be provided to stakeholders. Further, the workgroup recommends that reporting be done in the aggregate rather than at the individual participant level. As an alternative to the current "all children-all programs" approach, the State Commission would conduct research based on sampling, in-depth research and evaluation projects at selected funded sites. Local commissions will be required to collect and report certain client and program aggregate data as discussed below. Individual client data would still be collected for focused research projects in which the state and an individual county or counties agree to and cooperate on project design and associated evaluation for which individual client data would be necessary.

1. Standard and Consistent Reporting for Accountability

The first component for school readiness project evaluation follows the previously described approach to accountability reporting for county-funded programs, with the exception that rather than reporting by county, school readiness data elements would be reported by "funded application."

In the framework proposed here, each funded application will report basic demographic and spending information to the State Commission for use in the annual report, providing stakeholders with consistent information for each funded application across the state to answer the key questions that the workgroup believes all stakeholders want to know, as described in Section Three. Briefly, all funded applications will provide the following information:

- What services are being funded?
- Who and how many are receiving services (in the aggregate)?
- Who is providing these services?

Locally funded applications will be responsible for collecting, maintaining and reporting this data to the State Commission. State Commission staff will summarize the information for its annual report on School Readiness investments across the state, by services provided, by provider, and by recipient of services. The State Commission will also use the data reported as inputs to inform further research, identify trends, and integrate with outcome information to provide a comprehensive picture of School Readiness investments and results as described below.

2. Reporting Results from a Menu of Outcomes and Indicators

The second component provides a way for locally funded applications to report on results from a menu of outcomes and indicators (see Appendix 5 for a draft menu). Local commissions will select the outcomes and indicators identified in the application that best reflect their goals, outcomes, and program investments. As part of the application process individual commissions and the State will agree to the specific outcomes and indicators selected and under which the local commission will gather data. The outcomes and indicators approved in every application will be a limited set, but will reflect major aspects of a local commission's program investments.

Within the menu, outcomes and indicators are presented in the following categories:

- Improved child health
- Improved family functioning
- Improved early care and education
- Increased schools' readiness for children

The outcomes and indicators are based on the Five Essential Elements, National School Readiness Indicators, and the First 5 Data Dictionary. The workgroup expects that the selected evaluation contractor will validate, refine, and finalize the proposed list of measures.

When developing this menu, the evaluation workgroup established 12 criteria for selecting outcomes and indicators. Outcomes and indicators must:

1. Have communication power and be compelling
2. Pass the “public square” test, have a clear and understandable link to the services provided
3. Include as many measures as necessary but as few as possible – “the right number” to provide sufficient information for accountability and learning
4. Be time sensitive
5. Be clearly defined
6. Have built-in quality
7. Provide a logical link between process and outcome measures
8. Be based on nationally recognized standards or otherwise validated.
9. Be culturally and linguistically acceptable
10. Be relevant – able to be effected by the School Readiness program
11. Serve as leading indicators or proxies for indicators that are too costly or otherwise not possible to use
12. Apply to both small and large counties

Although the workgroup has developed a recommended menu, members agree that consistent and full implementation of this component is crucial to its success. The group identified data definitions, indicator definitions and methods for reporting as important implementation issues related to this component and expect that the selected contractor would address them.

In addition to reporting outcomes and indicators based on the menu, local commissions may provide evaluation reports and/or other locally generated outcomes information to the State to provide as complete a picture as possible of local school readiness initiatives.

3. State Directed Data Collection, Research and Evaluation

The third component of the school readiness portion of the framework replaces the current requirement that local school readiness-funded applications collect individual participant-level data with a state directed and operated program of in-depth data collection and analysis of selected programs and strategies through the Center for Results previously mentioned. The workgroup, when developing this component, sought to ensure that the benefits of the client-level data collection effort would be retained, while avoiding the associated concerns about cost and data consistency and reliability. The proposed approach will enable state evaluators to conduct focused research and report on results using a variety of methods, such as:

Studies to identify broad trends. This component could include the evaluation of child school readiness outcomes using the Kindergarten Entry Profile or a similar evaluation tool. Researchers could design studies using a community sample or client samples in areas known to be intensively served. Other data collection methods could include parent reporting, school reporting, or other methods that can provide reliable and consistent data.

Intensive data collection efforts. Sample data could be taken from the universe of school readiness participants and/or sites. Collection and reporting could come from a representative sample geographically, demographically, or by selected strategy approach.

Applied research, case studies. This method would allow in-depth research on specific interventions and specific program designs as they are implemented. This method would allow state researchers to collect qualitative as well as quantitative information. One very promising area of research for learning that the workgroup believes identified is studies that compare results of similar interventions across the state.

The purpose and activities of the Center for Results are described in detail in Section Six of this report.

SECTION SIX: CENTER FOR RESULTS

A critical element of the proposed framework is the dedication of resources for the development and implementation of a research and evaluation agenda at the state level. The workgroup recommends that the existing State research and evaluation team evolve into a more formalized structure for the managing, analyzing an communicating of results and outcomes from the First 5 investments statewide. The term "Center for Results" refers both to the resources that will be dedicated to carry out the State's research and evaluation agenda as well as the policy- and decision-making structure needed to guide this effort.

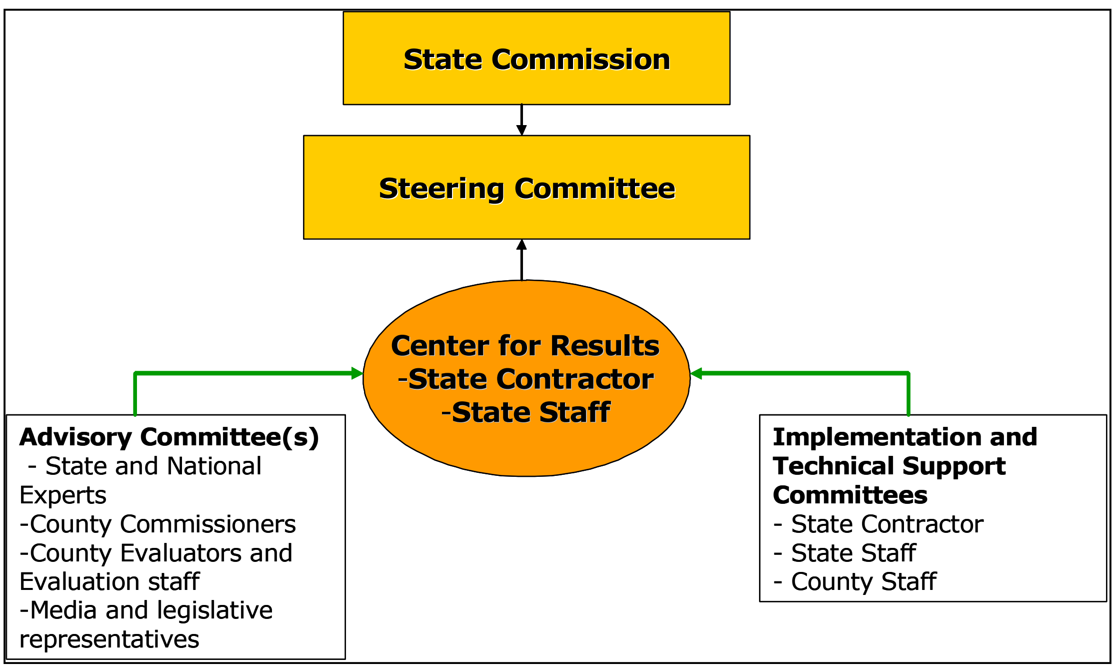
1. Proposed Structure

The workgroup recommends that the State Commission create a Steering Committee that would direct and oversee the implementation of a strategic research and evaluation plan under the Commission's direction. Membership of this Committee could include one or more State Commissioners, local representatives and experts in the area of child development and health from outside the First 5 governance structure. It is anticipated that a contractor would be engaged to lead the implementation of the research and evaluation agenda, working cooperatively with State staff and incorporating input from county evaluators and other local staff. The State contractor and staff would be supported by advisory committees and/or panels that would provide input in the development of the research and evaluation agenda. This agenda would establish priorities and provide a vehicle for making research and evaluation investments.

The Center for Results will provide valuable accountability-based information regarding 100% locally-funded programs and school readiness programs and services. Its work is also envisioned to be the cornerstone of the "learning" aspect of the evaluation process. As such, it is a substantial improvement over the current evaluation process, because this framework proposes that gathered information be provided to local commissions to enhance their efforts to improve school readiness programs while highlighting promising areas for additional research.

The graphic below presents a proposed organizational structure for the Center for Results. As shown in the graphic, the proposed framework envisions a strong partnership between the state and county commissions to develop and implement the research and evaluation agenda. County Commission input on policy issues would come through representation on advisory committees and through an implementation and technical committee that will address protocols and practices for research and evaluation efforts.

Proposed Center for Results Organization



2. Functions and Duties

Working with advisory and technical committees, it is anticipated that the Center will perform several functions related to the development, management and implementation of a research and evaluation agenda, including the following roles and responsibilities::

- **Create a Central Repository of First 5 Evaluation Information** - This repository would include the local evaluation reports as well as state evaluation reports and other state and national reports on the promising and best practices for early childhood interventions. The repository will be an information library to maintain and disseminate information on effective early childhood interventions to minimize learning curves and take advantage of the tremendous and diverse investments in California in early childhood development.

- **Develop and Guide Implementation of a Strategic Research and Evaluation Plan** – The selected contractor and State staff, working under a Steering Committee and with input from Advisory Committee(s), would develop a strategic plan that would guide the research and evaluation investments. The plan would consider several inputs as shown in the graphic below, including trends in First 5 investments, national and state research findings, results reported from local commissions, demographic data, and other information. Once developed, it would be the responsibility of the State contractor and State staff to execute this plan. Upon review of the information gathered, the team will make recommendations for more in-depth evaluation efforts such as reviewing similar programs in multiple counties or case studies of specific programs with promising practices. This builds and expands on the current practice of the State Research Committee developing a long term research and evaluation plan. The discussion below provides examples of how these research initiatives could be carried out.

- **Review Local Results and Develop Policy Recommendations** – With a broad perspective on evaluation, the team is recommended to review local evaluation reports with several questions in mind:
  - How does this effort compare with other investments statewide?
  - What do these results show that is significant overall or for a specific population?
  - Is this program/service a candidate for replication either through state or other local funding?

  The Center for Results would provide feedback to County Commissions on the results and also identify candidates for in-depth, case study or further evaluation and research.

- **Compare First 5 Results with National and Other Research Efforts –** In recent years, there have been an increasing number of studies which demonstrate the positive impact of the early intervention in children. Because of California's unique demographic population, these interventions may or may not have comparable results when implemented here. Part of the research agenda will be to evaluate the impact of national practices, such as home visitation, when implemented in California.

- **Conduct In-depth/Case Study Research** – The Center for Results, working through the State contractor and staff, will conduct in-depth research and evaluation studies. Dedicated professional researchers and evaluators will have the capacity to conduct credible, informative evaluations that can support First 5 decision-making. Examples of these studies may include:
  - Comparative analyses of counties investing in similar program initiatives
  - Cost-benefit and return on investment evaluations to quantify the value associated with specific programs and initiatives
  - Evaluations to isolate critical elements of programs which have the greatest impact on clients served.

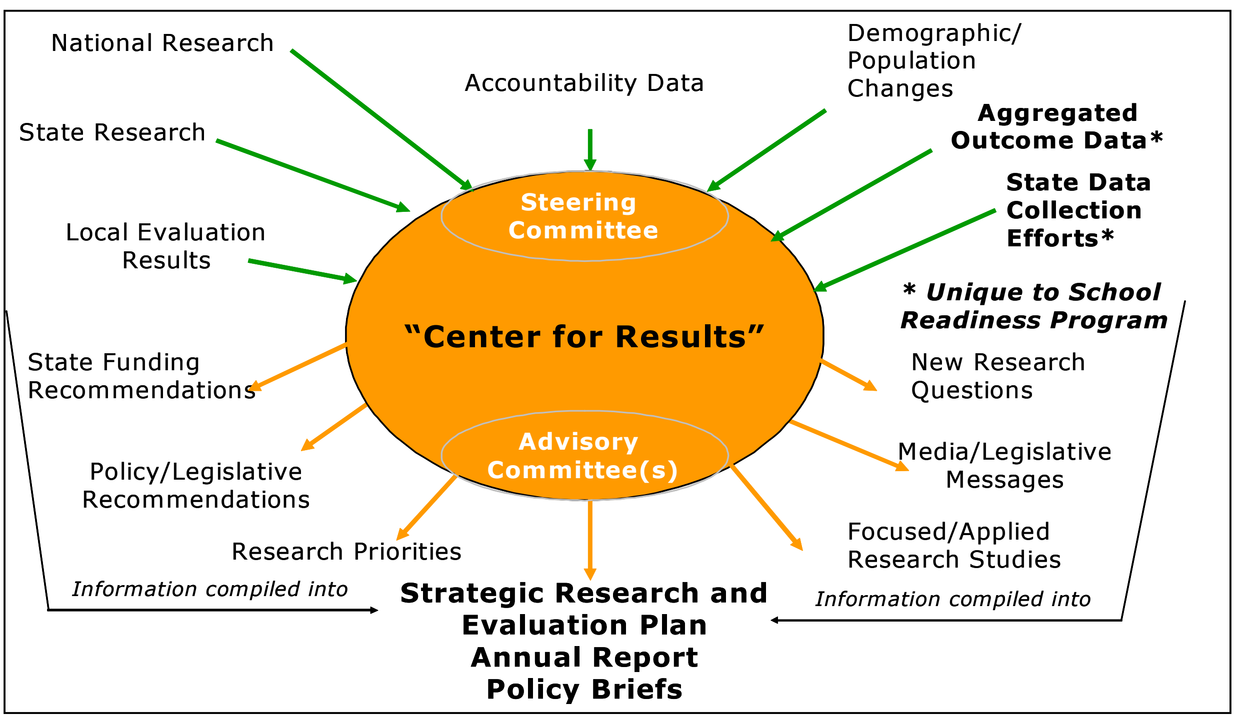
This would build on the current state practice of conducting case studies and highlighting local evaluation programs of merit and particular impact. Examples of these types of studies are presented in section three below.

- **Communicate Research Findings to Policymakers, Practitioners and Other Stakeholders** – The proposed Center will employ a variety of tools to inform policymakers, practitioners and other First 5 stakeholders of the results of its research and evaluation efforts. The Center will provide non-technical publications including newsletters, policy briefs, formal briefings, and presentations and will prepare and distribute the First 5 Annual Report. The Center will also hold educational forums and provide technical assistance to ensure that lessons learned are incorporated into future First 5 programs and investments.

The Center will play a critical role in establishing the link between evaluation and practice. One of its ongoing responsibilities should be to ensure that First 5 decision makers use evaluation results. The Center's staff will have the critical role of analyzing, interpreting and communicating local results and placing those results in the context of statewide issues facing young children and families in California.

The graphic below illustrates how the Center for Results would consider multiple inputs in developing policy, legislative and programmatic recommendations.

Center for Results Proposed Inputs and Deliverables



3. Examples of Research and Evaluation Initiatives

In developing the concept for a Center for Results, the Workgroup discussed ways in which such a directed research effort could be provide valuable insights. The following examples illustrate the approaches that could be used by the Center.

a. Comparing Investments in Specific Initiatives and Programs Across the State

The first example involves comparing common investments or strategies across the State. Local commissions around the State are investing in similar strategies, but applying these strategies through diverse programs. The proposed approach would expand on current evaluation efforts by providing a more focused concentration on reviewing local results to create a First 5 "learning community."

Home Visitation for Newborns, for example, is an emerging practice within First 5, used as means both for outreach to new families and potentially for screening and supporting families at risk for a range of conditions. The Center for Results would be able to conduct in-depth evaluations comparing the results achieved in multiple counties investing in home visitation programs with the purpose of answering the following questions:

- What are the impacts on families involved in the home visitation for newborns?
- What is the comparative impact based on the structure, dosage of the home visitation, duration?
- What are effective screening tools?
- What are the qualifications and experience of those conducting home visitations?

This research effort could provide useful information to counties conducting home visitation programs as well as those considering such strategies. It would also provide information on Statewide results from such investments.

b. Overall Impact of First 5

One of the greatest challenges that needs to be addressed by the evaluation framework is how to articulate the overall impact of First 5 in a meaningful way. The difficulty stems from the diversity of programs, goals, and services provided. Additionally, many of the services funded under First 5 are neither intensive nor long term, but instead link to other services in the community in order to expand or complement existing services. Isolating the "First 5" impact is challenging for many of the reasons identified in sections one and two of this report.

The Center for Results can be an effective resource in defining the impact of First 5 in two ways:

1. Demonstrating Community Capacity Building

The Children and Families Act requires that County Commissions work towards integrating services within communities. Specifically, the Act says that

> ".. No County Strategic Plan shall be deemed adequate or complete until and

unless the plan describes how programs, services and projects relating to early childhood development within the county will be integrated into a consumer-oriented and easily accessible system…."

One aspect of the Center's research could be to determine how the capacity to provide early childhood services has increased in specific communities and/or the in the state as a whole. Such an effort would involve looking at investments from a system-wide perspective to examine whether and to what extent schools, health care providers and families within specific geographic communities and/or statewide have increased their capacity to address the needs of children.

c. Intensive/Longitudinal Studies

As indicated above, not all children and families receiving services under First 5 receive intensive services for a prolonged period of time, which is necessary for tracking impact of services and monitoring results over time. However, some segments of the population, most likely those served for two or more years under school readiness programs, are likely to receive intensive services over a sufficient period of time to enable such studies to be conducted. The Center for Results can direct longitudinal studies of children in such programs, employing sampling methods to determine a subset of the population served which would be candidates for participation. The Center for Results, in partnership with local communities would be able to conduct multi-year investigations that could provide the basis for evaluating the impact and cost-savings associated with First 5 investments over time. Given the complexity of such a study, stemming from diverse programs, locations, and client conditions, it should be conducted by experienced professional researchers who can ensure credibility and reliability of study results.

SECTION SEVEN: IMPLEMENTATION

This section presents an overview of the steps in implementation and discusses critical implementation issues identified by the workgroup.

1. Continuing the State-Local Partnership: Establishing a Joint Implementation Steering Team

Implementing the recommended framework will require a substantial commitment of time and energy at both the local and State commission levels. Through the process of developing the recommended state evaluation framework, workgroup members have created a group culture of mutual respect and increased understanding of the differing roles and requirements of state commission and local commission officials and staffs. The workgroup believes that the good working relationship established between state and local representatives makes it desirable to continue the group as an implementation steering team, and therefore recommends that the State Commission authorize it to continue through the implementation phase.

The purpose of the steering team would be to plan and direct the implementation of the framework, and to establish transition procedures during FY 05-06 to assure that the framework is successfully implemented with FY 06-07, beginning July 1, 2006. (Although the framework will be implemented in FY 06-07, some elements may need to be completed in FY 07-08.

Responsibilities of the Implementation Steering Team would be to:

- Develop a detailed implementation plan and timeline.
- Monitor the transition to assure that implementation elements are developed according to the timeline and advocate for appropriate resources to assure timely implementation.
- Assure sufficient communication and stakeholder input into the process.
- Participate in the development of an RFP for a State Evaluator, review proposals, and recommend a finalist (or finalists) for approval by the State Commission.
- Maintain and foster the excellent state-local partnership that was created in the evaluation workgroup so that implementation issues can be thoroughly evaluated and cooperatively addressed.

2. Key implementation issues

In its deliberations the workgroup identified key implementation issues in three areas: organization and people, process and technology. Continued partnership throughout the process, including the ongoing involvement of the workgroup will be essential for the effective implementation of the proposed approach. Major issues in each category are listed below:

- **Organization and People**

    - *Training*. Appropriate training will be important to assure both successful implementation and to incorporate continuous learning and improvement into the First 5 initiative. The workgroup noted that training will be required at all levels – State, local commissions and staff, as well as providers, and that training will need to be ongoing. Training will be particularly important to assure that all counties can effectively meet the reporting and evaluation expectations outlined in this report. Training should address both reporting expectations as well as technical information on how to complete and submit data worksheets.
    - *New roles and responsibilities at the local level.* Local commissions will be faced with new responsibilities and reporting requirements. Although some commissions currently conduct evaluation studies, all commissions will now need to provide for evaluation studies. The implementation group will need to consider what resource needs the counties will have and how these resources will be provided.
    - *New roles and responsibilities at state commission.* The revised framework will require changes to operating procedures and policies for state staff. For example, detailed requirements and responsibilities must be developed for the research and evaluation team and associated advisory group created as part of the framework.
    - *Consistency.* Program, fiscal and evaluation staffs from all counties as well as state staff will need to work together to assure consistency of implementation.
    - *Communication.* Communicating the changes to the framework will be just part of the challenge. To get understanding and buy-in, the reasons for the changes, the benefits, and a picture of how the system will work once the recommended

framework is in place must be communicated to staff, oversight agencies, providers, participants, other direct stakeholders and the public.

- **Processes**

  - *Selecting a state evaluator.* The current state evaluator's contract has been extended in order to provide sufficient time to revise the framework. A critical task will be to draft an RFP for a new evaluator contract so that the evaluator can be on board in sufficient time to assist with implementation.
  - *Providing resources for transition and implementation.* Resources will be required for both at the state and county levels. The existing network of school readiness coordinators is a good example of the kind of resource commitment that will be necessary. Counties will need assurance that resources will be available for collecting and reporting data to the state.
  - *Establishing a common language.* The diversity of reporting and evaluating methods and the need to communicate effectively to varying audiences creates a need for commonly understood terms.
  - *Refining the details of each evaluation framework component.* Not only is the diversity of reporting and evaluation methods a challenge for communicating clearly but also poses challenges to developing clear and user-friendly reporting formats, processes, and forms.
  - *The transition year.* Numerous questions have been raised about what county commissions should be doing during the transition year, for example, what requirements to include in newly-signed multi-year contracts and what lead time will be necessary for procedural and reporting changes. Although implementation is proposed to take effect July 1, 2006, the implementation plan needs to be as clear as possible on interim tasks and deadlines during the transition year.

- **Technology**

  - *Leveraging current investments.* A major concern of local commissions is that the systems they have already put into place be usable under the new evaluation framework. Commissions that have invested significantly in automated systems need to know how they can leverage their current investments to meet new reporting and data collection requirements. It will be important during implementation planning to decide on how information will be transmitted and shared electronically and at what cost.

    Capability of PEDS to serve local needs. Further, the current state system PEDS, will need to be assessed for the extent to which it can meet data collection and reporting needs under the revised framework. Smaller counties that have used PEDS in the past will need to know how they will be able to most cost effectively collect, store and transmit data to meet new reporting requirements and also to fulfill the requirement to conduct evaluation studies and what resources will be available to them.

Resource availability for technology assessment. Addressing technology needs is crucial to the success of the revised framework. The transition and implementation planning group will need sufficient resources allocated to it to develop solutions.

4. **Need for Ongoing Review and Updating of the Framework**

The changing environment within which the First 5 initiative is carried out will require that the framework be reviewed and updated regularly. While the framework needs maintain standard reporting formats so that participants are not subject to frequent changes in requirements, the way the framework is being used and the requirements imposed on participants to implement the framework need to be assessed periodically for validity, cost effectiveness and relevancy.

Appendix 1: Workgroup Members

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Executive Director
First 5 California Children and Families Commission

Sherry Novick
Executive Director
First 5 Association of California

Lynn Eldred
Program and Operations Manager
First 5 Commission of San Diego County

Armando Jimenez
Director of Research and Evaluation
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Sheila Kruse
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First 5 Tuolumne County

Christina Linville
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Alyce Mastrianni
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Joe Munso
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Patricia Skelton
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First 5 California Children and Families Commission

Ellen Vieira
Executive Director
Plumas County Children and Families Commission

Pat Wheatley
Executive Director
First 5 Santa Barbara County Children and Families Commission

Appendix 2: Summary of Applicable Financial Reporting Procedures

The First 5 Financial Management Guide contains recommended procedures for both external and internal reporting. External reporting means reports intended to be read and used by those outside (for example, the organization annual "audit" or Comprehensive Annual Financial Report (CAFR). Internal reporting is intended to be used internally to provide management and Commission oversight information during the fiscal year.

The Guide recommends that all commissions provide external reports in compliance with GAAP (Generally Accepted Accounting Principles) for governments. For external reporting, best practice that governments provide results in a CAFR, which is a GAAP-based document. (County-affiliated commissions year-end information should be incorporated into the County government's CAFR.)

The Guide also recommends that local commissions issue "popular" annual reports that combine organization-level GAAP-based financial information with other relevant information, including program and strategic performance data. The document should be presented in a format designed for the general reader.

One important change to standard commission reporting is reporting fund balance information. Currently, many commissions report fund balance on a non-GAAP basis. Funds are classified as "committed" or "uncommitted." The Guide recommends that, per GAAP standards, fund balance be reported as reserved or unreserved, and within each category, further subdivided. GAAP-basis fund balance reporting will still allow commissions to show the amount of funds uncommitted as unreserved undesignated. Criteria for designating reserved and unreserved fund balance are detailed in the Guide.

Because internal reporting is designed to assist management to effectively monitor and manage resources and to assist commissions in their oversight responsibilities, compliance with GAAP standards is not required. Format and content should be based on the needs of management and commissions. However, the Guide recommends that all commissions prepare internal reports on a regular basis. The Guide recommends that each commission prepare a regular operating statement that reports on revenue and expenditures in the previous period (e.g., monthly or quarterly).

In addition, the Guide recommends that each commission report program and performance information regularly along with financial information. Statistical information on programs and services provided by each local commission should be prepared consistent with management's need for information but in the interests of efficiency should also be presented in a format that will meet the state commission's annual reporting requirements and those of the revised evaluation framework.

Appendix 3: Questions Asked by Stakeholder Groups

Questions Asked by Stakeholder Groups	Stakeholder Groups				
	Customers	Vested Partners	Interested Parties	Indirect Watchers	Direct Watchers
1. Spending and Funding					
How much was spent?		*	*	*	*
How can my agency access funding?		*			
Will my agency's funding be sustained?		*			
How are funding priorities set?				*	
Can Prop 10 help out state government's needs?					*
Who controls the money?				*	
How much are you not spending?		*	*	*	*
What has Prop 10 done to leverage dollars?				*	
How much money goes to direct services?		*	*	*	*
How much goes to administrative costs?		*	*	*	*
How much goes to local commissions as administrators?		*			
2. Where the Money Went			*		
Target groups (ethnicity, special needs, language groups)	*	*	*		*
Geographic areas - regions		*	*		*
Age groups		*	*		*
Providing entities		*	*		*
Results, initiative, strategies		*	*	*	*
Number of children served by category		*	*	*	*
Programs by type		*	*		*
Units of service					*
Local agencies		*			
Prop 10's % of total investment in					
results area?				*	*
programmatic area?				*	
initiative area?				*	
What spending efforts are common statewide?					*
Where do we have critical mass addressing common needs?					*
3. Efficiency					
Were you efficient?		*	*	*	*
How much money has Prop 10 saved?					*
Were programs cost/beneficial?				*	*
Were initiatives cost/beneficial?				*	*
Is Prop 10 as a whole cost/beneficial?				*	*
4. Effectiveness -- What is Working?					
Were you effective?	*	*	*	*	*
What is working well with Prop 10?			*	*	
What has been the difference in the community?		*	*		
How do results affect my institution?		*			
How do results affect my organization's mission?		*			
Have there been unintended consequences?		*			
What were my program's outcomes?		*			
How does my agency's performance compare to others?		*			
Are children better off?				*	
What is working long term?				*	
What is working short term?				*	
What isn't working and why was it funded?				*	
How do you know Prop 10 made a difference?				*	
What do you have to show for the money?					*
What would be the impact of not funding?					*
Is there an outside assessment of Prop 10 performance?					*
5. Financial Condition of First 5 Commissions					
What is the financial conditionn of 1st 5 commissions?					
What are the fund balances of 1st 5 commissions?					
What are the long term financial plans of 1st 5 commissions?					
6. Best Practices					
How can other agencies learn from First 5 best practices?		*			
How can we systematize best practice?		*			
7. System Integration					
How can we partner to better serve needs?		*			
Are you adding value through system integration?			*		
How does first 5 add value to my agency?		*			
How does first 5 add value to my program?		*			
In what areas do we have common priorities?		*			
Can strategies be institutionalized?			*		
8. Goals and Priorities					
What is the level of need to be met?		*			
What are the overarching outcomes?			*		
How are priorities set?				*	
Is the focus on children 0-5 a good strategy?				*	

Appendix 4: Sample Data Reporting Worksheet

First 5 California
County Commission Reporting (100% County Funded)
Accountability Reporting: Reporting Information

Each County would be responsible for completing one Reporting Form for each service/Result Area combination. The sum total of all reporting forms should equal the amount of County allocated funds.

Result Area:
Service Area:

Counties are providing information on each result area/service category combination in which they had funded programs during the reporting period.

Select all the significant modalities that apply:

- Home Based Services
- Office Based Services
- Mobile Service
- Classes/Workshops
- Public/Community Event

Counties would check off modalities that apply to Result/Service Area. Dollars are not broken out by modality.

Reporting Requirements

Dollars Spent or Encumbered in Last Fiscal Year	$XXXXX
Breakdown of Funding by Primary Contractor (Total Should Add to Line Above)	
Schools	$XXXXX
Community Based Agencies	$XXXXX
County Govt Agency	$XXXXX
Other Govt Agency	$XXXXX
Private agencies/institutions	$XXXXX
First 5 Commission	$XXXXX

The ethnic and age breakout should be consistent, to the degree possible, with current reporting requirements to minimize impact of the change.

Population Served		
	Children Less than 3	
	Children 3 to Five Years	
	Children (Ages Unknown)	
	Parents/Guardians	
	Providers	

Ethnic Breakdown of Population Served		Children	Parents/ Guardians	Other Family Members
	Alaska/American Indian			
	Asian			
	Black/African-American			
	Hispanic/Latino			
	Pacific Islander			
	White			
	Multiracial			
	Other/Unknown			

Primary Language (Spoken in the Home)		Children	Parents/ Guardians	Other Family Members
	English			
	Spanish			
	Other			
	Unknown			

Appendix 5: Draft School Readiness Menu of Outcomes and Indicators

1. Improved Child Health	
Outcome	**Indicator**
More children have health insurance	children 0-5 with health insurance
More children receive regular well-child visits according to the schedule recommended by the AAP	children 0-5 who received a well child check-up in the past year children 19-35 months who are fully immunized
More children receive dental services in the last year, (including screening and treatments)	children 0-5 who received dental services in the past year
More children 0-5 received a comprehensive developmental screening, assessment and referral in the past year	children 0-5 with a comprehensive developmental screening in the past year. children 0-5 who received services identified in the screening
More children are healthy and well-nourished	children 0-5 with BMI greater than 85% for their age and gender on CDC BMI charts

2. Improved Family Functioning	
Outcome	**Indicator**
More parents/guardians achieve a higher level of literacy and education	parents participating in literacy, ESOL, GED training or related education
More parents/guardians are involved in systems that affect their child's development and success	ECE programs that have multiple strategies to involve and support parents/guardians
Families are more integrated and connected in their communities	parents (self report) that utilize support systems including family, faith-based, social
More parents/guardians are actively involved in the child's development	children breastfed for the first 6 months children who are read to by a family member/guardian in the past week or engage in other pre-reading activities in the past week mothers with depression (special needs only)
Parents provide nurturing and positive emotional support	mothers screened for and referred for depression parents receiving treatment for depression or other mental health problems
More parents/guardians have the knowledge and skills to support their child's optimal development	parents/guardians who complete a parent education training
Children develop in a safe home	CPS/DV reports families served by programs to reduce exposure to family violence

3. Schools' Readiness for Children	
Outcome	**Indicator**
Increased schools' readiness for children	schools with formal transition plans
	schools with formal linkages to ECE, home visiting, other community resources
	schools with co-training between ECE & K
	transition (child learning _plans in place
	schools/school districts that have established a school readiness department/unit
	school districts that have adopted policies for school readiness
	schools/school districts that have invested Title 1 or other public education funds in the pre-K years
Parent involvement / Empowerment / Advocacy	parents involved in joint planning at service level parents involved in joint planning at level of program planning and evaluation

4. Improved Early Care and Education	
Outcome	**Indicator**
Quality ECE settings in the SR catchment area	ECE settings either accredited and/or ECERs/FDCERS/ITERS attaining a satisfactory score (to be determined during funding process)
	ECE settings that meet or exceed title 5 standards
ECE Enrollment in Quality Programs	3 and 4 year olds enrolled in a center-based ECE program (including child care centers, nursery schools, preschools, Head Start and Pre-K programs)
	licensed child care spaces (FOC + center based) per 100 children
	special needs children enrolled in inclusion model programs children with social/emotional or behavioral issues stabilized in ECE setting
	eligible children enrolled in Head Start or state preschool or equivalent co-located program
Children with age-appropriate competencies	infants and toddlers with developmentally appropriate skills and behaviors in each of the 5 domains of child development as measured with a validated tool three and four year olds with age appropriate skills in each of the 5 domains of child development as measured with a validated tool

WORKING DRAFT

California Children and Families Commission

SPECIAL NEEDS PROJECT EVALUATION DESIGN

October 2005

SRI Project Number P11949

Prepared by

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FIRST 5
SPECIAL NEEDS PROJECT EVALUATION DESIGN

Introduction

In March 2003, the First 5 California State Commission approved an allocation of $20 million for a 5-year Special Needs Project to be carried out as part of the ongoing First 5 School Readiness (SR) Initiative.

The goal of this important project is to “strengthen the School Readiness Initiative and other First 5 California programs serving all children by demonstrating and disseminating effective practices for programs and systems serving young children with disabilities and other special needs.” The First 5 California Special Needs Project is designed to ensure early identification of children with disabilities and other special needs, including behavioral/mental health needs, and to provide early intervention through a continuum of community-based coordinated services.

The project will consist of 10 demonstration sites, each linked to a First 5 School Readiness Initiative site, that will test a combination of evidence-based and promising practices and systems reconfigurations to better support a diverse population of children with special needs and their families. The California Institute on Human Services at Sonoma State University will support the demonstration sites as the Statewide Coordination and Training provider. SRI International will conduct the evaluation, working with the demonstration sites to improve programs and identify effective practices as part of the overall First 5 School Readiness Initiative evaluation.

The First 5 Special Needs Project, as part of the First 5 California School Readiness Initiative, is guided by the State Commission’s framework of five “Essential and Coordinated Elements,” derived from the National Education Goals Panel’s (NEGP’s) definition of school readiness:

- Early care and education services with kindergarten transition services.
- Parenting/family support services.
- Health and social services.
- Schools’ capacity to prepare children and families for school success.
- Program infrastructure, administration, and evaluation**.**

The evaluation of the First 5 Special Needs Project will be embedded within the overall First 5 School Readiness Initiative evaluation. The ultimate goals of state and local efforts are to help all of California’s young children be ready to succeed when they enter school and to have long-term success in school and life.

Evaluation Design

General Approach

A combination of several approaches will be used to yield compelling data about children and families served by the First 5 California Special Needs Project, the programs put in place at the demonstration sites, and promising approaches for the future. Using both quantitative and qualitative methods, the First 5 Special Needs Project evaluation will build on the growing knowledge base about school readiness; disability; early screening and assessment and early intervention, and infant, preschool, and family mental health, and will receive ongoing input and review from key stakeholders at the state and local levels.[1] As with all the activities in the evaluation, the First 5 Special Needs Project evaluation team will be sensitive to local capacity to implement evaluation activities and will provide technical assistance to support and expand local capacity, as needed.

Evaluation Questions

Evaluation of the Special Needs Project involves important questions about implementation, changes in systems of care, results for children and families, promising practices, and community context. The answers to these questions will allow First 5 California to clearly delineate the service models employed, to link models and resources to outcomes, to identify the most effective and least costly models, and to ascertain what community factors may facilitate or inhibit the dissemination of those models to other First 5 and School Readiness sites. These areas are currently being investigated in the broader School Readiness evaluation, increasing the ease of data collection and allowing some comparisons across communities.

The proposed research questions for the evaluation of the First 5 California Special Needs Project are:

Implementation

1. How is the Special Needs Project implemented at each of the demonstration sites? Is it being implemented consistently and with fidelity to Special Needs Project emphasis areas (including the equity principles)?

2. Are more schools and school-linked programs using strategies that promote the readiness of children with disabilities and other special needs for school and schools' readiness for children with disabilities and other special needs (including behavioral and mental health challenges)?

3. How effective is the technical assistance provided by the Special Needs Project Coordination and Training contractor?

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[1] These include the Statewide Evaluation Oversight Committee, the State Commission, the Advisory Committee on Diversity, the Special Needs Project Advisory Committee, the California Children and Families Association and its Evaluation Committee and Evaluation Work Group, County Commissions and their local evaluators, and local SR Initiative program staff.

Changes in Systems of Care

4. Are systems of care changing to address the needs of families and children more effectively through the integration of early childhood care and education, special education, and early intervention?

5. How is the Special Needs Project reducing the discontinuity between School Readiness Initiative elements (including family support), the early education system, the special education system, and the K-12 educational system?

Results for Children and Families

6. Are more children being screened, referred for additional assessments, provided appropriate services, and effectively included in First 5 School Readiness Initiative programs?

7. Are children with disabilities and other special needs being identified at younger ages?

8. Are children entering kindergarten better prepared to be successful in school?

9. Are we closing the “achievement gap” experienced by the diverse populations of California’s youngest children, including those with disabilities and other special needs?

10. Prior to school entry, are more families of young children practicing behaviors that are known to support children’s readiness for school (including health and physical development, emotional well-being, social competence, language, communication skills, and cognitive development)?

Promising Practices

11. Which First 5 California Special Needs Project strategies, programs, and approaches most effectively promote positive outcomes for children, families, or communities, particularly for children and families from diverse cultural and linguistic backgrounds?

12. Which strategies are more cost-effective than others in achieving similar results?

Community Context and Other Factors

13. How do community and county contextual factors influence implementation and outcomes of Special Needs Project programs?

Design Components

To answer these complex and important questions, the evaluation design must involve multiple components. These components should address each of the four Special Needs Project emphasis areas:

Emphasis Area 1: Universal access to screening for early identification of developmental issues. To evaluate this emphasis area, the design must include methods of obtaining and analyzing data regarding the number and percentage of children receiving screenings, referrals, and services; age at screening and referral; child's race/ethnicity and gender, and the provider, location, and type of screening received.

Emphasis Area 2: Improved access to and use of services and supports through coordination and reallocation of existing resources and building of new supplemental resources. Evaluation of the second emphasis area requires that the design provide measures of systems change, detailed descriptions of program service models, and measures of service utilization rates.

Emphasis Area 3: Inclusion of young children with disabilities and other special needs in typical preschools and other community settings and the provision of necessary supports. The third area calls for design elements that gather information about rates of inclusion in School Readiness programs, the degree of child participation in program activities, and the types of supports provided.

Emphasis Area 4: Identification of effective practices and program improvement. To collect and analyze information about the fourth emphasis area, the design must have the capacity to address the quality of program implementation, child and family outcomes, quality of technical assistance, and must be able to compare program models.

Three main evaluation components will be used to capture and analyze all the relevant data:

1. **Case studies** will document systems change efforts, provide detailed descriptions of program service models, assess the degree of child participation in program activities, record the types of supports provided to participating children, and provide the basis for comparison of program models. The case studies will make use of both qualitative and quantitative methods of data collection and analysis.
2. **Quantitative data about participants**, collected and reported with the Proposition 10 Evaluation Data System (PEDS), will include:
    - the number and percentage of children receiving screenings, referrals, and services;
    - age at screening and referral;
    - race/ethnicity and gender of children screened;
    - the provider, location, and type of screening received;
    - rates of inclusion in First 5 School Readiness programs;
    - service utilization rates; and
    - child and family outcomes.

3. The quality of the technical assistance and support provided by CIHS will be evaluated by collecting, analyzing, and reporting quantitative and qualitative data. The evaluation team will compile ratings of training efficacy from individual training events and will conduct an annual survey to assess the overall quality of the technical assistance provided by CHIS.

Case Studies. The SRI evaluation team will produce case studies of each of the 10 demonstration sites. The data for the case studies will be drawn from interviews with key staff and participants, direct observation of program practices, review of documents produced by the programs, and quantitative data regarding the community context and program outcomes. The case study for each site will follow a similar protocol to ensure that comparable information is collected across the 10 demonstration sites. The protocol for the case studies will be linked to the evaluation questions and the proposed SNP outcomes to ensure that the relevant information is collected at each site. The 10 case studies will then provide a basis for a cross-case analysis of overall SNP activities and outcomes.

The case studies will delineate each of the program models in terms of their site-specific theory of change. A theory of change is "an explicit or implicit theory about how and why the program will work" (Weiss, 1972, p. 50). It stipulates that specified activities will bring about particular events and conditions, which, in turn, will produce or allow other sought-after events or conditions. The task of a theory-driven evaluation is to "surface [program] theories and lay them out in as fine detail as possible, identifying all the assumptions and sub-assumptions built into the program" (Weiss, 1996, p. 67).

Weiss (1996) urges the use of theories of change in the evaluation of comprehensive community initiatives—complex interventions that attempt to:

(1) leverage money already available in communities by stimulating new investments and/or coordinating service;

(2) create change by finding and creating an active leadership group in the community;

(3) work across different functional areas to produce a comprehensive intervention;

(4) give autonomy to local efforts addressing local conditions; and

(5) be geared for a long process of slow change.

These five characteristics identify SNP as an instance of a comprehensive community initiative and, therefore, as a case in which theory-driven evaluation should be a fruitful approach.

Weiss reports that program developers find the writing of the theory of change as valuable as the findings of the evaluation, because it allows them to clarify their thinking and build consensus about what they are doing and why they think it should work. A theory of change identifies the outcomes an initiative is trying to achieve, assumptions regarding factors that contribute to those outcomes, strategies the initiative will use to achieve the outcomes, indicators of progress that serve as interim outcomes, and assumptions regarding how strategies and outcomes are related. A theory of change can be represented in a graphic depiction of hypothesized links between program inputs and activities and their short and long-term outcomes. The theory of change can then be used to assess implementation of program activities and their links to outcomes. More and less effective (and/or costly) program strategies can be identified and long-term outcomes can be analyzed and explained in terms of the activities and intermediate outcomes with which they are associated. A possible theory of change for a SNP demonstration site is presented in Figure 1.

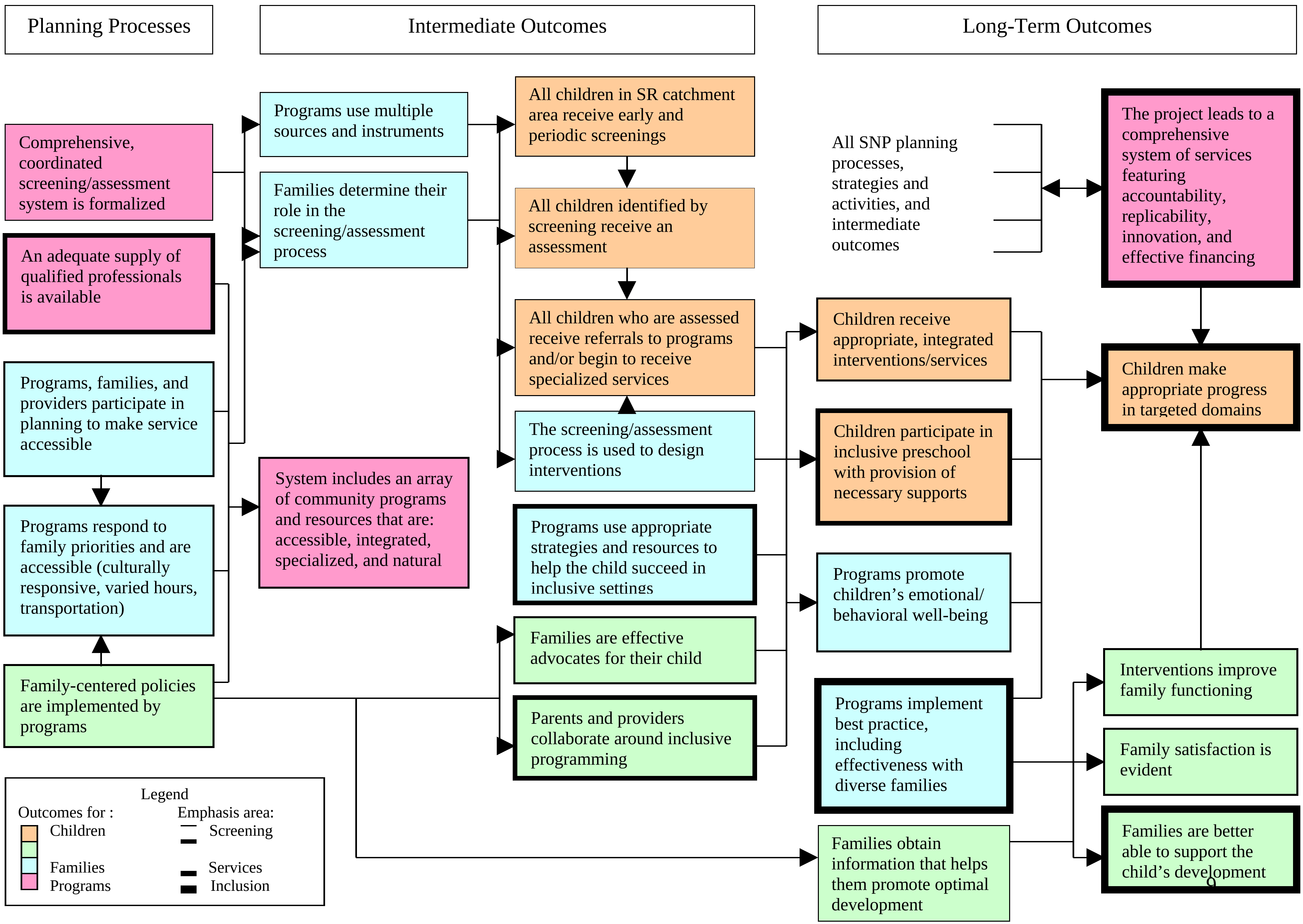
The case studies will present a complete description of both the unique and common aspects of the 10 demonstration sites. They will knit together quantitative and qualitative data to tell the stories of each of these intervention efforts in a readily understandable and compelling way. They will support replication of demonstration site models by providing detailed information about the community context so that similar replication sites can be identified. They will also show how barriers to program implementation were successfully addressed and facilitators were drawn upon to support the achievement of project goals.

Quantitative Data About Participants. As noted above, the Proposition 10 Evaluation Data System (PEDS) is a Web-based data collection system created and supported by CS&O, one of the statewide evaluation partners. It is designed to collect information on funding and costs, participants served, types of services and other activities provided, and outcomes for intensively served participants. PEDS can process this information and produce reports in a common format on a weekly, monthly, quarterly, or annual schedule. PEDS has been designed with security and confidentiality as core elements and has been built on the principles of the Health Insurance Portability and Accountability Act of 1996 (HIPPA).

There are three levels of users for the system: the state commission, county commissions, and funded programs. The state commission can use PEDS to establish the statewide reporting period, enter the master list of Key and Elective Indicators, define the Organization types, enter narrative questions, and enter information on any state-funded programs. County commissions can use PEDS to enter county Initiatives and Organizations, select Elective indicators, add and maintain funded program user accounts, monitor application use, and summarize information for the annual report. Funded programs can use PEDS to enter information about services and activities; record consent, demographic, intake, follow-up, and service information on core (intensively served) participants, and allocate funding received by the service provided.

PEDS currently is used by a number of counties as part of the statewide evaluation , including in the First 5 School Readiness Initiative sites. It is available at no cost to county commissions and funded programs. Users have access no cost training, technical assistance, and support services form CS&O. These resources include free in-person training, training manuals, a toll-free help desk, an informational Web site, and an e-mail address to which users can submit questions.

Figure 1: Possible Theory of Change for the First 5 California Special Needs Project



A special module will be added to PEDS for the evaluation of SNP. This module will be used to record data on:

- The number of children screened
- Demographic characteristics of children screened
- The outcomes of the screening (in need or further assessment or not)
- The number of children referred for further assessment
- The outcomes of the assessments
- The child's placements/referrals after assessment

Each child who is referred for further assessment will receive an intake interview and will be enrolled as a core participant. Data collected for each core SNP participant will include:

- The screening score(s)
- The assessment score(s)
- The diagnosis or classification received
- Eligibility for special services
- The programs and services received
- The intensity and duration of services
- Additional scores related to developmental outcomes (from additional assessments).

The system will have the capacity for tracking and longitudinal follow-up of each SNP core participant.

It will be possible to collect and compare data between SNP demonstration sites and School Readiness Initiative sites using PEDS but not involved in the SNP. Based on the current PEDS items, it would be possible to compare:

- The number of children who receive screenings
- The age, race/ethnicity, and gender of children screened
- The number of children with disabilities who receive services and their disability
- The number of families who receive parenting classes and other services
- The number of screened children at SNP versus non-SNP sites for key indicators.[2]

The addition of a SNP module to the PEDS used by demonstration and comparison sites would allow for a more extensive comparison between SNP and other School Readiness Initiative programs. The addition of items from the Parents' Evaluation of

[2] The key indicators collected on core participants include: low birth weight; adequacy of prenatal care; immunization status; well baby check-up status; regular medical home; health insurance; breastfeeding status; annual dental exams; smoke free homes; smoke free pregnancies; preschool participation; family regularly reads/tells stories to child.

Developmental Status to the intake and follow up forms would provide comparative information about children's progress. Collecting information on services received in SNP and non-SNP sites would provide a basis for understanding treatment effects by documenting the services received in non-SNP sites rather than assuming that they form a non-treatment control group.

Quality of the Technical Assistance and Support Provided by CIHS. CIHS is charged with providing the training and coordination required for the SNP demonstration sites to function effectively. Their work is therefore integral to the success of the SNP and will receive special attention in the evaluation. CIHS has budgeted for an internal evaluator to ensure that evaluation activities support their continuous program improvement activities. The SNP evaluators will work closely with CIHS staff and the CIHS internal evaluator to design data collection instruments and activities, and a data reporting schedule and format that will help CIHS meet the needs of the demonstration sites and that will provide a basis for continuous improvement of the trainings, technical assistance, and support provided by CIHS. At a minimum, an evaluation form will be developed and used at the conclusion of all training sessions, completed by participants, and complied by the evaluation team. Annual surveys will also be completed by program staff to provide additional information about the quality of TA and support. Some of the interview questions in the annual site visits will also focus on CIHS activities with the demonstration sites.

Evaluation Method

Participants

Participants in the evaluation will include:

- Local Special Needs Project/School Readiness program administrators and direct service personnel.
- Personnel from other governmental and community agencies and organizations associated with the local Special Needs Project demonstration site.
- Children receiving services through the Special Needs Project.
- Parents/guardians of children receiving services through the Special Needs Project.
- CHIS personnel and contractors.

Data collection methods

As noted above, the three design components will each have specific data collection activities associated with them. Case studies will be used to collect data relating to the theory of change for each demonstration site, its implementation, and its outcomes. PEDS will be used for the collection of quantitative data about each of the SNP emphasis areas. Surveys will be used to gather information about the performance of CIHS. To assist with the evaluation activities, the evaluator will assign an evaluation liaison to each demonstration site and each of the demonstration sites will assign a designated staff person to work on the evaluation . These individuals will work together to organize data collection activities, support program staff, and oversee data collection and reporting at each of the sites.

Case Studies. The evaluator will assign an evaluation liaison to each SNP demonstration site. The liaison will collect the relevant data from the assigned site by phone, e-mail, mail contacts, and by semi-annual site visits. The liaison, assisted by the designated staff person , will conduct the following data collection activities:

- Semi-structured interviews with families and program staff.
- Document collection including screening and assessment protocols and instruments, MOU's between participating agencies and departments, program descriptions and forms.
- Observation of program practices, including screening and assessment activities and inclusion in programs.

These data will be used to produce a case study of each demonstration site, following a case study protocol. The liaison will perform any follow up data collection activities that arise in the course of the cross-case analysis.

Quantitative Data About Participants. The evaluator will train the designated evaluation staff person at each site in the use of PEDS. The designated evaluation staff person at each of the demonstration sites will assist in arranging training of other programs staff, monitor data collection at the program level, and provide regular reports to the evaluator regarding data and data collection efforts. The designated evaluation staff person, under the supervision of the evaluation liaison, will conduct or monitor the following PEDS data collection activities at each of the programs associated with the SNP demonstration site:

- Completion of the Core Participant Intake Form at the time of entry into the SNP program (at the time of their assessment).
- Completion of the Core Participant Follow up Form at six month intervals following the completion of the Intake Form.
- Completion of the Direct Services Data Collection Tool on a monthly basis.
- Completion of the Community Strengthening Efforts Data Collection Tool, as needed.
- Completion of the Provider Capacity Building/Support Data Collection Tool, as needed.
- Completion of the Infrastructure Investments Data Collection Tool, as needed.
- Completion of the Systems Change Support Data Collection Tool, as needed.

The designated staff person will summarize and report these data on a monthly basis so that the information may be used for continuous program improvement and overall evaluation activities,

Quality of the Technical Assistance and Support Provided by CIHS. SRI will evaluate CIHS training, technical assistance, and support by distributing and collecting an annual electronic survey of demonstration site and associated program staff. This survey will also be conducted six months after inception of the SNP in order to provide early feedback to CIHS. CIHS staff will collect information on the quality of specific training sessions by distributing and collecting ratings of the training by participants at the end of each training session. These surveys will be sent to SRI for data entry and anlyis. The CIHS internal evaluator will assist in the development of the surveys and will work with CIHS to incorporate the information in their continuous program improvement activities.

Data collection instruments

The following instruments will be used to collect the relevant data at each site:

- Interview protocols for the semi-structured interviews
  - Parent Interview
  - Program Staff Interview
  - SNP Staff Interview
- Site visit protocols
- Document collection matrices
- Program description chart and community resource map
- Classroom observation scales
- PEDS, with Special Needs Project module
  - Core Participant Intake Form
  - Core Participant Follow up Form
  - Direct Services Data Collection Tool
  - Community Strengthening Efforts Data Collection Tool
  - Provider Capacity Building/Support Data Collection Tool
  - Infrastructure Investments Data Collection Tool
  - Systems Change Support Data Collection Tool
- CIHS Technical Assistance Quality Surveys
  - Annual Survey of CIHS Technical Assistance Quality
  - CIHS Training Feedback Form

The relationship between the evaluation questions and the data collection instruments is presented in Table X.

Timeline for data collection

Data collection will begin as soon as the demonstration sites have been notified of their awards.

- An initial site visit will be arranged and conducted by the liaison within one month of the initiation of the project. The purpose of this site visit will be to

WORKING DRAFT

Evaluation Question	Table X. Data Collection Activity/Source of Data							
	Core Participant	**Aggregate Participant**	**Case Study Interviews**	**Direct Observation of Programs**	**Population-based data**	**DRDP, DRDP-Access**	**DR Parent Interview**	**TA Surveys**
Implementation								
How is the Special Needs Project implemented at each of the demonstration sites? Is it being implemented consistently and with fidelity to Special Needs Project emphasis areas (including the equity principles)?			✓	✓			✓	
Are more schools and school-linked programs using strategies that promote the readiness of children with disabilities and other special needs for school and schools' readiness for children with disabilities and other special needs (including behavioral and mental health challenges)?	✓		✓	✓				

WORKING DRAFT

Evaluation Question	Core Participant	Aggregate Participant	Case Study Interviews	Direct Observation of Programs	Population-based data	DRDP, DRDP-Access	DR Parent Interview	TA Surveys
▪ How effective is the technical assistance provided by the Special Needs Project Coordination and Training contractor?			✓	✓				✓
Changes in Systems of Care								
Are systems of care changing to address the needs of families and children more effectively through the integration of early childhood care and education, special education, and early intervention?		✓	✓	✓			✓	
How is the Special Needs Project reducing the discontinuity between School Readiness Initiative elements (including family support), the early education system, the special education system, and the K-12	✓	✓	✓	✓			✓	

WORKING DRAFT

educational system?								
Evaluation Question	**Core Participant**	**Aggregate Participant**	**Case Study Interviews**	**Direct Observation of Programs**	**Population-based data**	**DRDP, DRDP-Access**	**DR Parent Interview**	**TA Surveys**
Results for Children and Families								
Are more children being screened, referred for additional assessments, provided appropriate services, and effectively included in First 5 School Readiness Initiative programs?	✓	✓	✓	✓	✓			
Are children with disabilities and other special needs being identified at younger ages?	✓	✓						
Are children entering kindergarten better prepared to be successful in school?						✓		
Are we closing the “achievement gap” experienced by the diverse populations of								

California’s youngest children, including those with disabilities and other special needs?					✓	✓		
Prior to school entry, are more families of young children practicing behaviors that are known to support children’s readiness for school (including health and physical development, emotional well-being, social competence, language, communication skills, and cognitive development)?							✓	
Promising Practices								
Which First 5 California Special Needs Project strategies, programs, and approaches most effectively promote positive outcomes for children, families, or communities, particularly for children and families from diverse cultural and linguistic backgrounds?	✓	✓	✓	✓		✓	✓	

Evaluation Question	Core Participant	Aggregate Participant	Case Study Interviews	Direct Observation of Programs	Population-based data	DRDP, DRDP-Access	DR Parent Interview	TA Surveys
Which strategies are more cost-effective than others in achieving similar results?			✓			✓		
Community Context and Other Factors								
How do community and county contextual factors influence implementation and outcomes of Special Needs Project programs?	✓	✓	✓		✓	✓		

- collect the information necessary for the specification of the program's theory of change and to do a needs assessment of training needs for participation in the evaluation.
- A second site visit will be conducted during the first year to conduct interviews and observe programs. One site visit per year will be conducted for the remainder of the project.
- Entry of PEDS data will be ongoing, with start-up as soon as possible after the initiation of the program.
- PEDS Follow up Forms will be completed for each child every six months following the completion of the Intake Form.
- PEDS data will be summarized and reported by the designated evaluation staff person at each site on a monthly basis.
- Assessment of participating children will take place annually, in accordance with the program plan.
- Parent surveys will be conducted annually.
- Surveys of technical assistance quality will be conducted annually.
- Participant ratings of technical assistance for specific training activities will take place at each major training session.

Data Consolidation and Initial Reporting

The data will be consolidated in two main formats aligned with the data collection method used.

Case Studies. The SRI site liaison assigned to each demonstration site will write a case study on that demonstration site, using the interview data, the documents collected, and the PEDS data for that site. Each of the case studies will follow the same protocol so that the case studies may be easily compared and contrasted. The protocol for the case studies is presented in Table X. The case studies will be updated and expanded annually to include data from the annual site visits.

Quantitative Data About Participants. The designated evaluation staff person at each demonstration site will produce annual summary reports for each type of report available on PEDS. The SRI site liaison for each site will incorporate the data in these reports in the case study for that site and the reports will be included as appendices. SRI will aggregate the reported data across the 10 demonstration sites to provide a picture of the overall project. The types of reports currently produced by PEDS are presented in Table XX.

Table X. Case Study Protocol.

1. Context
    a) Description of county (population, population density, median income, ethnicity)
    b) Local system of care for children with special needs, including children with challenging behavior and mental health needs
    c) County First 5 programs and summary of strategic plan
    d) School Readiness Initiative programs

2. Demonstration Site Agencies and Organizations
    a) Lead agency
        i. Mission
        ii. Budget allocation
        iii. Staff (number of FTE's on project, experience, education)
        iv. Role and duties in SNP
    b) Other agencies and organizations (funded programs)
        i. Mission
        ii. Budget allocation
        iii. Staff (number of FTE's on project, experience, education)
        iv. Role and duties in SNP
    c) Impact of collaboration on local system of care for children with special needs, including children with challenging behavior and mental health needs

3. Demonstration Site Special Needs Project Model
    a) General description
    b) Activities designed to reach SNP goals (from work plan)
    c) Proposed outcomes
    d) Theory of change

4. Project implementation (Completed annually, summarized in final case study)
    a) General description of implementation efforts
    b) Activities conducted according to work plan. For each activity in the work plan, list the following:
        i. Activity
        ii. Date completed
        iii. Attendance/participants/target audience
        iv. CIHS participation
        v. Outcome
        vi. Quality ratings (if available)
    c) Outcomes achieved
    d) Barriers and facilitators of implementation
    e) Status of theory of change

5. Summary
    a) Achievements
    b) Problems encountered
    c) Evaluation of theory of change

Data analysis

Qualitative data analysis. Qualitative data analysis will involve strategies and techniques that are well accepted and recommended by experts in the analysis of qualitative data (Caudle, 1994; Joint Committee on Standards for Educational Evaluation, 1994). The techniques and strategies will include case studies (Yin, 1994, 2003); cross-case analysis (Miles & Huberman, 1994); content analysis (Krippendorff, 1980), theme generation through the constant comparative method (Strauss & Corbin, 1990); analytic data displays (Miles and Huberman, 1994); and analytic memo writing (Strauss & Corbin, 1990). The trustworthiness (Lincoln & Guba, 1985) of the data will be safeguarded through the use of triangulation of data sources, an audit trail, peer debriefing, member checks, and negative case analysis.

- **The theory of change** employed by each program will be created following the first site visit. It will depict program assumptions regarding inputs, program processes, and outcomes. The degree to which the hypothesized relationships specified in the theory of change are supported by the data will constitute a major focus of the analysis.
- **Case studies** will serve as the major data reduction tool. Information from the collected documents and from the site visit interviews will be organized into the common format provided by the site visit debriefing form. The liaison for each site will produce a case study for their site.
- **Cross-case analysis** will take place following the production of the case studies. Every member of the evaluation team will read each of the case studies. The cross-case analysis will employ the strategies of content analysis and theme generation by the constant comparative method.
- **Content analysis** will be used to compare the data to the theory of change. Each element of the theory of change will be used to create a category. The case studies will then be read and coded according to these categories and the instances within each category compiled. These categories and instances will then be used to compare and contrast the implementation and outcomes for each element of the theory of change across the demonstration sites.
- **Theme generation through the constant comparative method** will be used to produce themes relating to the overarching issues involved in the Special Needs Project and to the research questions. As the members of the evaluation team read through the case studies, they will create margin notes about possible themes and produce analytic summaries regarding possible categories and their relationships. These notes and summaries will serve as the initial basis for generating the themes and coding categories that drive further analysis. The evaluation team will hold a series of debriefing meetings during which the themes and coding categories will be identified, combined, subdivided, and elaborated. The resulting themes will be tested against the data by coding each of the case studies and assessing the fit between the data and the themes. The case studies

will be coded and recoded until the categories are assessed to be exhaustive, mutually exclusive, and fully descriptive of the data.

- **Analytic data displays** will be used to uncover and depict patterns in the data. These include the use of timelines, comparative matrices, and community maps. Ordering the data in the form of the graphic representation of the theory of change will be an important form of data display.
- **Analytic summaries** will be used to capture ideas, to provide a record of key decisions about the data and the direction of the analysis for the purpose of the audit trail, and to generate and refine themes for communication between team members and for communication between the evaluation team and the demonstration sites.

In the course of the data analysis, the following strategies and techniques will be used to increase the trustworthiness (the qualitative version of reliability and validity) of the data:

- **Triangulation of data sources** will be used as a check of the accuracy of statements contained in interviews and written documents. For example, statements by program personnel regarding the impacts of program strategies may be compared with the views of parents and then against direct observations of the program.
- **Construction of an audit trail** will take place throughout the evaluation and consist of the organization and archiving of: (1) raw data; (2) instrument development records; (3) data reduction and analysis products; (4) data reconstruction and synthesis products; and (5) process notes. The archived materials will allow for the reconstruction of the entire analysis or portions of the analysis in order to assess the degree to which conclusions are grounded in the data (confirmability audit) and/or the degree to which sound analytical decisions were made (dependability audit).
- **Peer debriefing** will involve having a senior social scientist at SRI read the case studies and attend themes creation and development meetings, in order to raise issues about processes, interpretation, and next steps in the analysis.
- **Member checks** will be conducted at several points in the evaluation: program personnel in each demonstration site will review the theory of change, the proposed instruments, the case studies (before the cross-case analysis), and the PEDS data summary. They will provide feedback in written form and in oral form at meetings or calls in regard to each of these items. Corrections and revisions will be incorporated into the documents as appropriate.

Quantitative data analysis. The quantitative data from PEDS will be summarized using descriptive statistics. Different sites will be compared using inferential statistics. SRI programmers and statistics staff will employ analytic techniques (such as the analysis of outliers, etc.) to ensure the accuracy of the data prior to analysis. ………………

Reporting Findings

The evaluation findings will be used for both continuous program improvement and overall evaluative purposes. Findings used for continuous program improvement purposes will be made available to programs, county commissions, and CIHS staff in conjunction with CIHS program improvement activities. Overall evaluation findings will be communicated each year in the First 5 California Annual Report.

Continuous improvement

Data from individual training sessions will be collected during the sessions by CIHS staff, so that they may adapt and refine training practices and materials rapidly to meet the needs of staff at the various demonstration sites. The rating forms will then be sent to SRI for compilation and statistical summary. These summaries will be made available to CIHS on a quarterly basis. The full set of findings from the annual survey will be made available to CIHS within one month of the completion of the survey. SRI will participate in CIHS continuous improvement activities as requested by CIHS.

Annual Report

Findings from the evaluation of the Special Needs Project will be presented to the State Commission as part of the First 5 California Annual Report. The findings will be presented and discussed in a self-contained chapter (or in the chapter on school readiness) and will be reported every year for the duration of the project. Different aspects of the project may be emphasized in the reports for different years as the project moves through its different phases. For example, in the first year of the project the report may focus on systems change, implementation, and technical assistance as the demonstration sites realign agencies and programs work with CIHS to use research-based practices. In the second year, the report may emphasize the evaluation of the screening and assessment system and the inclusive practices that were put in place. The annual report chapter for the third year may focus on child and family outcomes as some children complete their time in school readiness programs. The identification of promising practices may be an important outcome at this point as well. In the fourth year the report may present data on final outcomes and how well the model practices have been disseminated to other School Readiness Initiative sites.

Other Products

Policy briefs will be produced on selected topics throughout the duration of the project, in conjunction with the Annual Report or at the request of the state commission. These brief presentations of evaluation findings will focus on topics of interest to specific audiences. Possible topics include: “Changing systems of care to better serve young children with disabilities and other special needs” (for policy makers, administrators, researchers, and advocacy groups), "Promising practices for screening and assessment" (for program administrators and program staff), and "Effective models of inclusive practices" (for First 5 California commissions and staff, and program administrators).